Portfolio Analysis and Management System (PAMS)
External User Guide

Version 13.7

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Prepared for:
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Office of Information Technology and Services (OITS)
## Revision History

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1.0 INTRODUCTION

The Portfolio Analysis and Management System (PAMS) is a Web-based system for managing Proposals and Reviews submitted to the DOE Office of Science. The PAMS experience is role- and user-sensitive, meaning that each user will see only information and action options that are pertinent to him or her. This customized approach minimizes errors in processing, simplifies the application process, and ensures sensitive information stays protected.

This document is a comprehensive guide to PAMS for financial Award applicants and reviewers. It includes step-by-step directions for registering, applying for financial Awards, reviewing Proposals, tracking Proposals, and taking action on any Proposal or Review assigned to you.

The PAMS External User Guide comprises the following sections:

- **Section 2.0, Getting Started**, is a high-level system overview, which includes:
  - Getting familiar with PAMS
  - Log-in information
  - Supported browsers
  - Navigation through the system
  - System conventions
  - Search fields
  - Pending tasks.

- **Section 3.0, What Can I Do in PAMS?**, provides instructions for system actions that users are apt to employ every time they are in PAMS. These actions include:
  - Registering to PAMS
  - Managing Institutions
  - Managing submissions
  - Viewing Proposal reviews
  - Tasks to complete after submission
  - Reviewing Proposals.

- **APPENDIX A, Glossary**, provides definitions for the acronyms and potentially unfamiliar terms in the User Guide.

- **APPENDIX B, PAMS Helpdesk Contact Information**, provides telephone numbers and email addresses of the PAMS Helpdesk, which is ready to assist you with using the system.

- **APPENDIX C, Proposal Process Flow in PAMS**, is a high-level flow diagram of the phases that a Proposal goes through in PAMS.
2.0 GETTING STARTED

In this section, you will find information on the business processes supported by PAMS, the user roles that support those processes, how to log in and navigate through PAMS, and what you can expect to see while using PAMS.

2.1 Getting Familiar with the PAMS User Interface

The following sections introduce you to the various ways you will interact with PAMS.

2.2 Logging In

Follow the steps below to log into PAMS:

1. Open your Internet browser.
2. In your browser window, enter the Website address https://pamspublic.science.energy.gov/ for DOE PAMS and press the Enter button. If reading this user guide online, merely click the hyperlinked Website address above to go to PAMS.
3. Enter your user name and password.
4. Click the Log In button.

**Note**

PAMS will time out after 30 minutes of inactivity, at which point you will have to log in again.

2.2.1 PAMS Account Is Locked

PAMS locks your account if you try to log in three times with an incorrect password. You will have to wait 30 minutes before attempting to log in again.

2.2.2 Forgot PAMS Password

To reset your password:

1. Click the Forgot Password link on the login page (Figure 1).
2. Answer the security question you set up. You will then receive an email from PAMS with a temporary password. Try logging in again.
3. If you have forgotten the answer to your security question, or are still having login problems, please contact the PAMS Help Desk for assistance (see Appendix B).
2.2.3 *Forgot PAMS Username*

If you forget your PAMS username:

4. Click the **Forgot Username** link on the login page (Figure 1).
5. Enter your First Name, Last Name and email address associated to your account. Click **Continue**.
6. Your username will be sent to your email address.
7. If you do not receive an email containing your username, or are still having login problems, please contact the PAMS Help Desk for assistance (see Appendix B).

### 2.3 Supported Browsers

Table 1 lists the supported browsers that are recommended for access to the complete set of features available in PAMS.

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<th>Version</th>
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<td>PLEASE NOTE: Internet Explorer 10.0 is not supported.</td>
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<tr>
<td>Firefox</td>
<td>3.6 and above (3.6 is recommended)</td>
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<tr>
<td>Safari</td>
<td>5.1 and above (5.1 is recommended)</td>
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<tr>
<td>Chrome</td>
<td>20.0 and above (20.0 is recommended)</td>
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### 2.4 System Navigation

As with many other Web-based systems, your primary input tools are your keyboard and mouse. Additionally, most PAMS pages support keyboard navigation:

- Use the *Tab* key to move the cursor to the next data-entry field or link.
- Use the *Enter* key to open a link.
- Use *Shift+Tab* to move in reverse order through fields and links.
Figure 2 and its accompanying table show and describe the primary navigation features in PAMS.

**Figure 2. PAMS Navigation Features**

<table>
<thead>
<tr>
<th>Ref. #</th>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Account (username) Dropdown, Logout Link</td>
<td>Refer to Section 2.9, <a href="#">View/Update Your PAMS Profile</a>, for more information on the account dropdown. Click the Logout link to exit PAMS. To log into PAMS again, you will have to provide your login credentials.</td>
</tr>
<tr>
<td>2</td>
<td>![Home icon]</td>
<td>Click the Home icon to go to the PAMS Welcome page. Once there, click the Recommended Settings link to see the browser and system settings that provide optimal viewing of PAMS.</td>
</tr>
<tr>
<td>3</td>
<td>Tabs</td>
<td>At the top of most PAMS pages are tabs to help you navigate through different modules in the system. The tabs shown here are Tasks, Proposals, Awards, and Institutions. The tabs bar, DOE logo, and Account/Logout links can be hidden temporarily by clicking the double-arrows up button at the far right end of the tabs bar. To make these page features re-appear, click the double-arrows down button at the top right of the page.</td>
</tr>
<tr>
<td>Ref. #</td>
<td>Element</td>
<td>Description</td>
</tr>
<tr>
<td>--------</td>
<td>---------</td>
<td>-------------</td>
</tr>
<tr>
<td>4</td>
<td>Left Menu</td>
<td>Within each module, the main menu is often found at the left-hand side of the page. The main menu can be hidden by clicking the double-arrow button at the top-left corner of the menu. To make the left menu re-appear, click the double-arrows button at the top left of the page.</td>
</tr>
<tr>
<td>5</td>
<td>Grid</td>
<td>A table, or grid, is used when multiple records must be displayed. The left-most column may have arrows to indicate that the rows are expandable. Click an arrow to expand a row and view detailed information about the record. You can also click the <strong>Detailed View</strong> link above the grid to expand all rows. The rows may be filtered by entering information in any one of the textbox fields immediately below the grid’s column headings, and clicking the filter icon next to it. Most grids also have a <strong>Search</strong> feature. The search pane is accessed by clicking the <strong>Search</strong> link above the grid. The <strong>Page Size</strong> fields enable you to adjust the height of the grid by indicating the greatest number of rows that may appear on a page. Arrow buttons next to the page number allow you to page through when there are multiple pages.</td>
</tr>
<tr>
<td>6</td>
<td>Context Menu Dropdown (also called <strong>Options</strong> column dropdown)</td>
<td>The right-most column in a grid is the <strong>Options</strong> column. Available options will vary from record to record. Click the dropdown arrow next to the link to reveal the options.</td>
</tr>
<tr>
<td>7</td>
<td>Breadcrumb Navigation</td>
<td>Each PAMS page displays the navigation path you followed to reach the current page. If the navigation path is too long, it is summarized by the application. Hover over the icon to view the summarized path details.</td>
</tr>
<tr>
<td>8</td>
<td>Floating Toolbar</td>
<td>PAMS has a floating toolbar at the bottom of the page that enables easy access to key functions. Options in the floating toolbar often include Search, Favorites, Recently Accessed, Print, and so on.</td>
</tr>
</tbody>
</table>
2.5 System Conventions

Table 2 lists the conventions for messages generated by PAMS. Symbols used as part of these conventions are designed to convey system messages consistently and to provide you with a richer user experience.

Table 2. Types of Messages Generated by PAMS

<table>
<thead>
<tr>
<th>Symbol</th>
<th>Denotes</th>
</tr>
</thead>
<tbody>
<tr>
<td>![Critical Error]</td>
<td><strong>Critical Error:</strong> This kind of error must be corrected in order for the system to save your information. If one or more errors of this kind appear on the page and are not corrected, the system will not save the data entered after the last successful save. <strong>Example:</strong> Entering “two” in a field where “2” is called for produces a Critical Error.</td>
</tr>
<tr>
<td>![Exception]</td>
<td><strong>Exception:</strong> This symbol denotes either a discrepancy or inconsistency in the information entered. Such errors must be corrected or justified.</td>
</tr>
<tr>
<td>![Information]</td>
<td><strong>Information:</strong> This symbol designates a note containing important information regarding your document or report.</td>
</tr>
<tr>
<td>![Regular Error]</td>
<td><strong>Regular Error:</strong> This kind of error will let you save the information entered. However, if one or more errors of this kind appear on a page and are not corrected, the system will not change the status of the page to “Completed.” If these errors occur while updating the budget sheet on a Proposal, for instance, the budget sheet will not be marked as complete and you will not be able to submit the Proposal. <strong>Example:</strong> Entering no information in a field where data entry is required may produce a Regular Error.</td>
</tr>
<tr>
<td>![Success Message]</td>
<td><strong>Success Message:</strong> This symbol appears when a particular process has been executed successfully, such as when information is saved or submitted.</td>
</tr>
<tr>
<td>![ToolTip]</td>
<td><strong>Tool Tip:</strong> This icon is often located near data fields. Hover your mouse over the icon to read a description of the data field. <strong>Example:</strong></td>
</tr>
</tbody>
</table>

2.6 Search Fields

In this user guide, some search fields have a search requirement similar to the following:

- **Institution Name like:** Enter the Institution Name or at least a part of it.

The word *like*, as used here, means that if you are uncertain of the exact name of the Institution (or whatever entity you are searching for), you can enter a part of the name of the Institution you are searching for. For example, if you know that “Water” is part of the Institution name (as in *Waterfield Company or Waterman University*), enter “water” in the search field and click the **Search** button. The system searches for and pulls up all Institutions with “water” as part of the Institution name.

This search method also works for numbers if *like* is a search option. For example, if you know that part of a Solicitation number includes “FOA,” enter “FOA” only in the search field and click the **Search** button.

2.7 Access Tasks
Tasks are action items that are in your queue. They are usually pending actions that are time sensitive and require your immediate attention. You can access all the tasks assigned to you as follows:

1. From the PAMS home page (Figure 3), click the **Tasks** tab to go to the *Pending Tasks – List* page (Figure 4).

2. By default, the *Pending Tasks – List* page displays all the tasks currently assigned to you that need your prompt attention. Click the **Start** link, under the *Options* column, to begin working on a task.

3. The *Pending Tasks – List* page has two tabs: *Not Completed* and *Recently Completed*. Tasks assigned to you and awaiting action by you are under the *Not Completed* tab. The *Recently Completed* tab enables you to see tasks that have been processed.

4. Alternatively, you can click the task name in the left navigation menu (Figure 5) to view the list of documents requiring that task.
5. Click the **Actions** link in the *Options* column to view and complete the task.

6. Once the task has been completed, the task moves to the *Recently Completed* tab.

### 2.8 How to Attach a File in PAMS

Some PAMS activities, such as submitting Proposals, Preproposals, Letters of Intent (LOI), and Revised Budgets, enable you to attach one or more document files from your personal computer or network. Attaching a file can be either an option or a requirement, depending on the task you are performing.

The following steps explain how to attach document files in PAMS. The Submit Letter of Intent (LOI) screens are used as an example for this procedure.

---

**Note**

*Attaching a document file is usually the last step in a procedure. For that reason, the Attach File button could be grayed-out when you first come to a page, as it is in Figure 6. Fill in all the other mandatory fields first before attempting to attach files.*

---

1. Expose the attach-file fields, if they not already visible, by clicking either the **Attach File** button at the far right of the page of the section title or the ▶ arrow at the far left of the section title (Figure 6).
2. Click the **Browse** button (Figure 7) to select a file from your computer or network (Figure 8)

*Figure 7. Attach File: Screen 2*

---

**Note**

The Documents library page shown in Figure 8 is only a sample. Your document files will look different.
Figure 8. Attach File: Screen 3

3. Highlight the file you wish to attach in PAMS and click the Open button.
4. Click the Upload button (Figure 7) to attach the document file in PAMS, as shown in Figure 9. (Max 1 Allowed means that PAMS only accepts one file attachment for this functionality.)

Figure 9. Attach File: Screen 4

5. If you wish, enter an optional document summary in the Description field (Figure 7).
6. In the Options column, click the Actions dropdown (Figure 9). If necessary, click either the Update Description link or the Delete Attachment link to perform the respective action.
7. Click the Save button (Figure 7) to retain your work.
8. Click the Submit to DOE button if your work is complete and ready to send to DOE.

2.9 View/Update Your PAMS Profile

The View/Update Profile page (Figure 11) enables PAMS users to view and update their personal PAMS information.

2.9.1 How to View Your Profile

1. From any PAMS page, click the account name drop-down list located in the green bar at the top-right corner of the page (Figure 10).
2. Click the View/Update Profile link from the drop-down list to go to the View/Update Profile page (Figure 11).

2.9.2 How to Update Your Profile

1. The View/Update Profile page has three sub-tabs: Profile Information, Background Information, and Resume/CV.

2. Click the tab labels to view the information contained on those pages. If required, update the information in the fields on the page.

3. Alternatively, you may select Save and Continue from the Choose Action drop-down list at the bottom right corner of the page. Click the Go button and proceed to the next tab.

4. You may also select Save and Return Home from the drop-down list to save your changes and return to the PAMS home page.
3.0 HOW DO I REGISTER TO PAMS?

The following sections explain the process of registering to PAMS.

3.1 Registration

Registering to PAMS is a two-step process:

1. Register to PAMS.
2. Register to an Institution.

Registering to PAMS ensures that you have authorized access to PAMS, whereas registering to an Institution ensures that you are associated to an Institution. Based on your role, you may be able to manage Institutions and/or users within the Institution. Once you have registered to PAMS, you will be able to view/update your profile as well.

3.1.1 How Do I Register to PAMS?

1. Go to the PAMS Website (https://pamspublic.science.energy.gov/).
2. Click the Create New PAMS Account link at the far right of the page (Figure 12).

Figure 12. PAMS Login: Create New Account Link
3. On the *Having Trouble Logging In* page (Figure 13), click the **No, I have never had an account** link, which expands. Then click the **Create an Account** button.

**Figure 13. Having Trouble Logging In Page**

---

4. This takes you to the *Create Account* page (Figure 14). Complete the form. Note that fields marked by a red star (★) are mandatory.

5. Click the **Save and Continue** button when you are finished, and the page expands further to enable you to enter more account information (Figure 15).
In the Mailing Address fields (Figure 15), you will enter information for ONLY ONE of the following: a Street Address, a Post Office (PO) Box, or a Rural Route:

- The Street Number field is for the number of your dwelling; e.g., if you live at 123 21st Street, 123 is entered in the Street Number field, not 21st. You would enter 21st Street in the Street Name field.
- Use the Select One drop-down to specify your specific dwelling type, if that designation is part of your address, e.g., APT for apartment, BLDG for building, etc.
- The Number field next to the Select One drop-down is to enter a number for your specific dwelling type, e.g., APT 3, BLDG 5A, etc.
6. Continue to complete all required fields. When finished, click the **Create Account** button in the bottom-right corner of the page.

7. Next, you must read the PAMS Rules of Behavior Agreement that appears (Figure 16). Click the **Accept** button to complete the PAMS registration process.
You are now registered to PAMS and are logged in. You can browse through solicitations and view other information in PAMS, but you will need to register to an institution before you can submit proposals or work with previous submissions.

3.1.2 How Do I Register to PAMS Using a Unique Registration Code?

If a task has been assigned to you in PAMS and you are not registered to PAMS, you will receive an email relevant to the task. This email will also provide information about registering with PAMS.

The email will provide a PAMS URL and a unique registration code that are needed to complete the registration process. Figure 17 is a sample email, with a PAMS URL and a unique registration code included.
1. Click the PAMS URL in the email. This will take you to the Verify PAMS User page (Figure 18).
2. Enter the registration code and click the Verify button. This takes you to the Create Account page (Figure 14).

**Figure 18. Verify PAMS User Page**

- **Note**: The First Name, Last Name, and Email fields on the Create Account page are prepopulated and not editable. Once you have completed your profile and are registered to PAMS, you can update these fields from your profile. Edit your profile by choosing View/Update Profile LINK from the account dropdown in the top right corner of any PAMS page (refer to Section 2.9).

3. Enter all mandatory information on the Create Account page.
4. Click the Save and Continue button when you are finished, and the page expands further to enable you to enter more account information (Figure 15).
5. Continue with the account creation process as described in Section 3.1.1, How Do I Register to PAMS?

### 3.1.3 How Do I Register to an Institution in PAMS?
After you have created an account in PAMS, you can register to an Institution in PAMS if you wish to submit Letters of Intent, Preproposals, certain types of Proposals, or work with previous submissions. As soon as you register to an institution in PAMS, an email is sent from PAMS to the institution’s Administrative SRO/BO/AO (see below) letting that person know that you have joined the institution. If the Administrative SRO/BO/AO does not believe you are authorized to be registered to the institution, he/she may remove you.

Registering to an Institution is performed using one of the following options:

1. Register using Grants.gov Proposal Information.
2. Register using Institution Information.

3.1.3.1 Register Using Grants.Gov Proposal Information

**Note** If you are already registered to an Institution—or you do not want to register to an Institution for any other reason—click the Cancel button on this page. Upon doing so, you will be registered to PAMS but will not registered to any Institution.

1. To register to an Institution using Grants.Gov Proposal information, click the My Institution has submitted a Proposal in Grants.gov. I am here to register as an SRO, PI, or POC link (Figure 19).

Figure 19. Register to Institution Page

2. The form shown in Figure 20 appears. The next sections discuss the different roles available to you in PAMS and their respective requirements. Please review them before clicking the Save and Continue button.

Figure 20. Register to Institution - Grants.gov Proposal Page
3.1.3.2 I Want to Register as a PI for the Institution

The Principal Investigator (PI) is responsible for:

- Composing and possibly submitting LOIs, Preproposals, and certain types of Proposals in response to Solicitations.
- Overseeing the research activities supported by DOE Office of Science Awards.

Follow these steps to register as a PI:

1. Enter the PAMS Proposal ID and Email address.
2. Select the PI role on the Register to Institution page (Figure 21). Click the Save and Continue button.

**Figure 21. Register to Institution as Principal Investigator (PI)**

3. You are taken to the Institutions tab (Figure 22), where a Success message provides registration verification.

**Figure 22. Institutions List - PI Registration Success Message**

*Note: The Proposal ID and email address should match the Proposal ID and email address listed in the automated email sent by PAMS upon receiving the SF-424 (R&R) Proposal, which was submitted via Grants.gov. Only one PI can register to the Institution using the Grants.gov Proposal information.*
At this point, you are registered as a PI for your specific Institution. Additionally, you have been granted access to view the Proposal that was used to register to the Institution.

3.1.3.3 I Want To Register as an SRO/BO/AO to the Institution

The Sponsored Research Officer/Business Officer/Administrative Officer (SRO/BO/AO) role is usually held by an administrative representative responsible for submitting Proposals to DOE Funding Opportunity Announcements (FOA) and/or managing Institution information and users in PAMS.

Follow these steps to register as an SRO/BO/AO:

1. Enter Proposal ID and Email address.
2. Select the SRO/BO/AO role on the Register to Institution page (Figure 23). Click the Save and Continue button.

![Figure 23. Register to Institution as an SRO/BO/AO](image)

The Proposal ID and email address should match the Proposal ID and email address listed in the automated email sent by PAMS upon receiving the SF-424 (R&R) Proposal, which was submitted via Grants.gov. Only one SRO/BO/AO can register to the Institution using the Grants.gov Proposal information.

3. If the Institution you wish to register to does not have an Administrative SRO/BO/AO in PAMS yet, you will be prompted to register as an Administrative SRO/BO/AO for the Institution (Figure 24). The Administrative SRO/BO/AO is responsible for managing users and the institution profile in PAMS.
Figure 24. Register to Institution as Administrative SRO/BO/AO
At this point, you will be presented with the following three options:

- Register to the Institution as an Administrative SRO/BO/AO
- Invite another user from the Institution to register as an Administrative SRO/BO/AO
- Continue with the registration process and only register as an Administrative SRO/BO/AO.

4. If you choose to register as an Administrative SRO/BO/AO, click the check box to accept the agreement and click the **Save and Continue** button (Figure 25). This will take you to the *Institutions* tab.

   **Figure 25. Register to Institution as Designated Administrator**

5. If you choose to invite another user to register as an Administrative SRO/BO/AO to the Institution (Figure 26), provide all mandatory inputs on page (all fields marked by a red star are mandatory) and click the **Send Email** button. This will send an email to the person you identified and take you to the *Institutions* tab.

   **Figure 26. Register to Institution - Invite Another User to Register as Administrator**
6. If you simply want to register to the Institution, you are taken to the Institutions tab, where a Success message provides registration verification (Figure 27).

**Figure 27. Institutions List - SRO/BO/AO Registration Success Message**

![Institutions List - SRO/BO/AO Registration Success Message](image)

**At this point, you will be registered to the Institution as an SRO. Depending on whether you chose to be the Administrative SRO/BO/AO, you will also have the Manage Institution and Manage Users privileges. Once you are registered as an SRO/BO/AO to the Institution, you will have View and Manage Peer Access privileges to the Grants.gov Proposal.**

3.1.3.4 I Want To Register as a Point of Contact (POC) to the Institution

Follow these steps to register as a POC:

1. Enter Proposal ID and Email address.
2. Select the Other (Point of Contact) option on the Register to Institution page (Figure 28). Click the Save and Continue button.
The Proposal ID and email address should match the Proposal ID and email address listed in the automated email sent by PAMS upon receiving the SF-424 (R&R) Proposal, which was submitted via Grants.gov. Only one POC can register to the Institution using the Grants.gov Proposal information.

3. Upon successful registration, you are taken to the Institutions tab, where a Success message provides registration verification (Figure 29).

![Figure 29. Institutions List - Point of Contact Registration Success Message](image)

At this point, you are registered to the Institution as a POC. Additionally you will also be able to view the Proposal.

3.1.3.5 Register Using Institution Information

This section covers two ways to register using Institution information.

3.1.3.5.1 I Want to Register as a PI/Other User to the Institution, Using Institution Information

1. To register to an Institution using Institution information, click the I know my institution and I am here to register to the institution link (Figure 30).
2. Enter all mandatory information on the page and click the Search button (Figure 31). Note that fields marked by a red star are mandatory. Choose the **PI** or **Other** role.

**Note**

If you are a Reviewer or a POC for any proposal from the institution, please select the “Other” option. You may also select the “Other” option if you are not associated with any proposal from the institution.

**Note**

The first bullet below states “Institution Name like.” The word “like,” as used here, means that if you are uncertain of the exact name of the Institution you are searching for, you can enter a term that is similar to the name you want. For example, if you know that “Water” is part of the Institution name (as in Waterfield Company or Waterman University), enter “water” in the search field and click the Search button. The system searches for and pulls up all Institutions with “water” as part of the Institution name.

- Institution Name like: Enter the Institution Name or at least a part of it
- EIN: Enter the Employer Identification Number (optional)
- DUNS: Enter the DUNS number (optional).

**Figure 31. Registering to an Institution – Search Button**

3. If you find your Institution listed in the grid, click the Action link and then click the Add me to this Institution link (Figure 32).
4. If you do not find your Institution, search again until you find it. If you suspect your institution is not in the system, click the **Cannot Find My Institution** button (Figure 33).

**Figure 33. Registering to an Institution – Cannot Find My Institution Button**

5. Enter mandatory inputs to create the Institution and click the **Create Institution** button to create a new Institution in PAMS on the *Create Institution* page (Figure 34). Note that fields marked by a red star are mandatory.
In the Mailing Address fields (Figure 34), you will enter information for **ONLY ONE** of the following: a Street Address, a Post Office (PO) Box, or a Rural Route:

- The *Street Number* field is for the number of your dwelling; e.g., if you live at 123 21st Street, 123 is entered in the *Street Number* field, not 21st. You would enter 21st Street in the *Street Name* field.
- Use the *Select One* drop-down to specify your specific dwelling type, if that designation is part of your address, e.g., *APT* for apartment, *BLDG* for building, etc.
- The *Number* field next to the *Select One* drop-down is to enter a number for your specific dwelling type, e.g., *APT 3*, *BLDG 5A*, etc.

Figure 34. Create Institution Page
6. Upon successful registration, you are taken to the Institutions tab, where a Success message confirms registration verification.

**Note**

*At this point, you are registered to the Institution as a PI/Other User role.*

3.1.3.5.2 I Want to Register as an SRO/BO/AO User to the Institution Using Institution Information

1. To register to an Institution using Institution information, click the I know my institution and I am here to register to the institution link (Figure 35).

   **Figure 35. Register to an Institution as an SRO/BO/AO**

   ![Register to Institution](image)

2. Input all mandatory information on the page and click the Search button. Note that fields marked by a red star are mandatory. Choose the role as SRO/BO/AO (Figure 36).

   **Note**

   The first bullet below states “Institution Name like.” The word “like,” as used here, means that if you are uncertain of the exact name of the Institution you are searching for, you can enter a term that is similar to the name you want. For example, if you know that “Water” is part of the Institution name (as in Waterfield Company or Waterman University), enter “water” in the search field and click the Search button. The system searches for and pulls up all Institutions with “water” as part of the Institution name.

- Institution Name like: Enter the Institution Name or at least a part of it
- EIN: Enter the Employer Identification Number (optional)
- DUNS: Enter the DUNS number (optional).
3. If you find your Institution listed in the grid, click the **Action** link and then click the **Add me to this Institution** link (Figure 37).

   **Figure 37. Register to an Institution - Add Me to This Institution**

4. If the Institution you wish to register to does not have an Administrative SRO/BO/AO in PAMS, you will be prompted to register as an Administrative SRO/BO/AO for the Institution (Figure 38).

   **Figure 38. Register to an Institution - as an Administrative SRO/BO/AO**
At this point, you are presented with the following three options:

- Register to the Institution as an Administrative SRO/BO/AO
- Invite another user from the Institution to register as an Administrative SRO/BO/AO
- Continue with the registration process and only register as an SRO.

5. If you choose to register as an Administrative SRO/BO/AO, click the check box to accept the agreement and click the **Save and Continue** button (Figure 39). This will take you to the *Register to Institution* page (Figure 40).

**Figure 39. Register to Institution as an Administrative SRO/BO/AO**

6. If you choose to invite another user to register as an Administrative SRO/BO/AO to the Institution, provide all mandatory inputs on the Email page and click the **Send Email** button. Note that fields marked by a red star are mandatory. This will take you to the *Register to Institution* page (Figure 40).

**Figure 40. Register to Institution - Invitation to Administrator**

7. Upon successful registration, you are taken to the *Institutions* tab, where a *Success* message provides registration verification (Figure 41).
8. If you do not find your Institution, search again until you find it. If you suspect your institution is not in the system, click the **Cannot Find My Institution** button (Figure 33).

9. On the **Create Institution** page (Figure 34), provide mandatory inputs to create the Institution and click the **Submit** button to create a new Institution in PAMS. Note that fields marked by a red star are mandatory.

**Note**

*In the Mailing Address fields (Figure 34), you will enter information for **ONLY ONE** of the following: a Street Address, a Post Office (PO) Box, or a Rural Route:*

- The **Street Number** field is for the number of your dwelling; e.g., if you live at 123 21\(^{st}\) Street, 123 is entered in the **Street Number** field, not 21\(^{st}\). You would enter 21\(^{st}\) **Street** in the **Street Name** field.
- Use the **Select One** drop-down to specify your specific dwelling type, if that designation is part of your address, e.g., **APT** for apartment, **BLDG** for building, etc.
- The **Number** field next to the **Select One** drop-down is to enter a number for your specific dwelling type, e.g., **APT 3**, **BLDG 5A**, etc.

10. Upon successful registration, you are taken to the **Institutions** tab, where a **Success** message provides registration verification.

**Note**

*At this point, you are registered to the Institution as an SRO/BO/AO user. Based on your search results, you may or may not have created a new Institution in PAMS.*

### 3.1.3.6 Registering to Multiple Institutions

If you are associated with more than one Institution, go to the **Institutions** tab (Figure 42). Click the **Register to Another Institution** link, above the grid, to search for your Institution and register to it in PAMS. Such action might be required when a user is associated with an Institution and has a small business, or when a user is associated with a lab and with a university, etc.
Figure 42. Institutions List - Registering to Multiple Institutions
4.0 **HOW DO I MANAGE INSTITUTIONS IN PAMS?**

This section explains the PAMS Manage Institution functionality.

4.1 **Who Can Become an Administrator for an Institution?**

- When you register as an SRO/BO/AO to an Institution that does not yet have an Administrative SRO/BO/AO, you are presented with the option to become an Administrative SRO/BO/AO for that Institution. Upon selecting this option, you are granted administrative privileges for that Institution. These privileges include Manage Users and Manage Institution Profile.
- All other users have to be granted administrative privileges by users who already have them.

4.2 **What Are Administrative Privileges? What Can I Do with Them?**

The two types of administrative privileges are:

- **Manage Institution Profile**: Users with this privilege can edit Institution profile information in PAMS.
- **Manage Users**: Users with this privilege can grant or revoke privileges and peer access for other users registered to the Institution. These users can also remove other registered users from the Institution.

4.3 **How Can I Manage Privileges?**

- Manage Privileges is the concept of allowing select users to manage the Institution Profile and users registered to the Institution.
- Privileges can be managed at an Institution level for users.
- Privileges can be managed only for users who are registered to the same Institution.
- SRO users who have registered to PAMS via a Grants.gov Proposal receive these privileges by default. Other users can be granted these privileges by users who already have the Manage Users privilege.

4.4 **What Is Peer Access? How Does It Work?**

- Peer Access is the concept of allowing select users, who are registered to the Institution, to access submissions in PAMS.
- Peer Access can be managed at a submission level, by the users who create the submissions, from the *My Proposals, My Preproposals, and My Letters of Intent* pages. For more information, refer to Section 4.5.3.2
- Peer access can also be managed at an Institution level, from the Institution Folder, by users who have administrative privileges. For more information, refer to Section 4.5.2.
- Peer Access can be extended only to users who are registered to the same Institution.

4.5 **Institution Folder**

The Institution Folder is a one-stop site for all activities associated with the Institution. Depending on assigned privileges, a user can:

- Manage the Institution Profile
- Manage Users from the Institution
- Manage Submissions (i.e., proposals, preproposals, and LOIs).
Follow the steps below to access the Institution Folder:

1. Log into PAMS and click the **Institutions** tab on the *Guide Me* page (Figure 43).

**Figure 43. Guide Me Page**

2. This takes you to the **Institutions - List** page (Figure 44), which displays the Institutions to which you are registered. Your assigned privileges determine whether the *Options* column dropdown link for the Institution is labeled *View* or *Actions/Views*.
   
   a. If the dropdown link is *View*, you can read all contents of the *Institution Folder*.
   
   b. If the dropdown link is *Actions/Views*, you can both read and take actions on the contents of the *Institution Folder*. 
If the institution you want is not listed, click the Register to Another Institution link above the grid. For more information, refer to Section 3.1.3, How Do I Register to an Institution in PAMS?

Figure 44. Institutions List - Page

3. Choose the Institution you want and click the View link or the Actions/Views link and then the Institution Folder link to go to the Institution Folder home page (Figure 45, Figure 46, or Figure 47).

The Awards link is always under Documents on the Institution Folder home page (Figure 45). Click this link to go to the Institution Awards – List page (Figure 48), which shows all the awards the Institution has received. From this page, users can see award Status and whether or not an award has been added to their Portfolios. Users can also click the Award Folder link under Options and go to the Award Folder home page.
Figure 45. Institution Folder Home Page (View Privilege Only)

![Institution Folder Home Page](image)

Figure 46. Institution Folder Home Page (Admin Privileges for non-SBIR Institution)

![Institution Folder Home Page](image)

Figure 47. Institution Folder Home Page (Admin Privilege for SBIR Institution)

![Institution Folder Home Page](image)

**Note**

The Institution Folder home page for an SBIR Institution (Figure 47) includes the Commercialization Surveys link under the Documents column. Click this link to go to the Commercialization Surveys – List page (Figure 49). From this page, users can read a PDF version of any survey (Figure 50) submitted by the Institution by clicking the View Commercialization Survey link under Options.
Figure 48. Institution Awards - List Page

Figure 49. Commercialization Survey - List Page

Figure 50. Commercialization Survey, PDF Version
4.5.1 Manage Institution Profile

Depending your assigned privileges, you can view only or view and update an Institution Profile in PAMS. To update the profile, a user must have the Manage Institution privileges for the Institution. If you registered to PAMS as the Administrative SRO/BO/AO, you are assigned Manage Institution privileges by default. If you do not have the manage privileges, you can only view the Institution profile.

Follow the steps below to view or update the Institution profile:

1. Log in to PAMS.
2. On the Guide Me page (Figure 43), click the Institutions tab to go to the Institutions – List page (Figure 44).
3. To view the Institution Profile:
   a. Choose the institution you want on the Institutions – List page.
   b. In the Options column for that institution, click the Views link and the View Profile link to go to the View Institution Profile page (Figure 51).
   c. Click the Cancel button when done to return to the Institutions – List page.
4. To update the Institution Profile:
   a. Choose the institution you want on the Institutions – List page.
   b. In the Options column for that institution, click the Actions/Views link and the Update Profile link to go to the Update Institution Profile page (Figure 52).
      OR
   c. If you are on the Institution Folder home page (Figure 46 or Figure 47), click the Update Profile link under the Institutions column.
5. Update the institution information, as necessary, and click the **Save and Continue** button when finished. A **Success** message on the **Institutions – List** page informs you that the profile was updated successfully.

### 4.5.2 Manage Users at the Institution Level

If you have the Manage Users privilege, you can add users to the Institution, edit their peer access and privileges, or remove them from the Institution. PAMS users can be managed at the **Institution Level** (By Users) and the **Submission Level** (By Letters of Intent, By Preproposals, and By Proposals).

Follow the steps below to manage users at the institution level:

1. From the **Institution Folder** home page (Figure 46 or Figure 47) or the Institutions - List page **Actions/Views** link (Figure 44), click the **Manage Users** link.
2. This takes you to the **Manage Users** page (Figure 53).
3. Click the icon next to By Users. This expands the page adding two name fields (Figure 54) as available search parameters.

**Figure 54. Search “By Users” Name Fields**

a. Enter data for the Last Name like and First Name like fields. If you are not sure of any part of the user’s name, leave the fields blank to return all possible search results. Click the Cancel button under the First Name like field to stop any further search action.
The word “like,” as used for the search name fields in Figure 54, means that if you are uncertain of the exact name of the user you are searching for, you can enter part of the name. For example, if you know that the user’s first name begins with “A” and the last name begins with “D,” enter “A” and “D” in the appropriate field.

b. Click the **Search** button, and the search results are displayed on the **Manage Users – List** page (Figure 55).

**Figure 55. Manage Users – List Page**

4.5.3 **Manage Privileges for Institution User**

To manage privileges for an Institution user:

1. On the **Manage Users – List** page (Figure 55), click the **Actions** link and click the **Manage Privileges** link to go to the **Manage User Privileges** page (Figure 56).
2. In the **Update Privileges** section, select or unselect the available privileges checkboxes.
3. When finished, click the **Save and Continue** button. A **Success** message on the **Manage Users – List** page informs you that user privileges were successfully updated.
4.5.3.1  Remove User from Institution

To remove a user from the Institution:

1. On the *Manage Users – List* page (Figure 55), click the *Actions* link and click the *Remove from Institution* link.

2. On the *Manage Users – Confirm Remove User From Institution* page (Figure 57), you can enter a reason for user removal in the *Comment* field.

3. Click the *Confirm* button. A *Success* message informs you that the user was successfully removed from the Institution.
4.5.3.2 Manage Users at the Submission Level

If you have the Manage Users privilege, you can assign peer access and privileges at the Submission Level.

Follow the steps below to manage users at the Submission level:

1. From the Institution Folder home page (Figure 46 or Figure 47) or the Institutions - List page Actions/Views link (Figure 44), click the Manage Users link.
2. This takes you to the Manage Users page (Figure 58). Note the three options for managing users at the Submission level: By Letter of Intent, By Preproposals, and By Proposals.

Figure 58. Manage Users Page – Submission Level

Note: To manage an Institution user’s peer access and privileges at the Submission level, you first have to search for that user by LOI, by preproposal, or by proposal.

4.5.3.2.1 Manage Users by Letter of Intent

Note: You cannot manage peer access or privileges for yourself. You can only manage other users in PAMS if you have the assigned privileges to do so.

1. On the Manage Users page (Figure 58), click the icon next to By Letter of Intent.
2. This expands the page, adding three fields as available search parameters (Figure 59).
3. Enter data for any or all of the fields. If you are not sure what to enter in any field, leave the fields blank to return all possible search results. Click the Cancel button to stop any further search action.
The word “like,” as used for the search name fields in Figure 59, means that if you are uncertain of the exact title or number you are searching for, you can enter part of the title or number. For example, if you know that “FOA” or “DX” is part of the Solicitation Number (as in FOA-2-05172012 or DX-999888777), you could enter “FOA” or “DX” in the search field.

4. Click the Search button. Search results are displayed on the Manage Users – Letter of Intent page (Figure 60).

Figure 59. Manage Users “By Letter of Intent” Search Fields

```
You are here: Home » Institutions » General [ ] » Manage Users

How would you like to Manage Peer Access? (To see all results, click search with empty search fields)

By Letter of Intent

- Tracking Number
- Project Title like
- Solicitation Number like

Cancel Search
```

Figure 60. Manage Users - Letter of Intent Page

5. In the Options column for the LOI of choice, click the Actions link and click the Manage Peer Access link to go to the Manage Peer Access – User List page (Figure 61). Here, you can view a
list of all users who have access to the LOI. In addition, you can add a new person to the LOI, manage a user’s peer access, or remove a user from the LOI.

**Figure 61. Manage Peer Access – User List Page**

6. **To add a new person:**
   a. On the *Manage Peer Access – User List* page (Figure 61), click the **Add New Person** link to go to the *Manage Peer Access – Add User* page (Figure 62). To search for a user in the list, go to Step b; otherwise, go to Step c.
   
   **Figure 62. Manage Peer Access – Add User Page**

   b. If you know the first name, last name, or PAMS username of the new person, click the **Search** link above the grid. Enter search parameters and click the **Search** button. Go to Step c.
c. For the user you want to add, click the **Actions** link and click the **Add User** link (Figure 62). This takes you to the *Manage Peer Access – User* page (Figure 63).

**Figure 63. Manage Peer Access – User Page**

![Manage Peer Access - User Page](image)

---

d. In the *User Information* section, select the appropriate peer access options for the user by clicking the checkboxes.

e. When finished, click the **Save and Continue** button. A *Success* message informs you that peer access privileges were successfully updated.

7. **To manage peer access:**

   a. On the *Manage Peer Access – User List* page (Figure 61), for the user you want, click the **Actions** link and the **Manage Peer Access** link to go to the *Manage Peer Access – User* page (Figure 63).

   b. Select the appropriate peer access options for the user by clicking the checkboxes.

   c. When finished, click the **Save and Continue** button. A *Success* message informs you that peer access privileges were successfully updated.

8. **To remove a user from the LOI:**

   a. On the *Manage Peer Access – User List* page (Figure 61), for the user you want, click the **Actions** link and the **Remove From LOI** link.

   b. On the *Manage Peer Access – Confirm Remove User From Letter of Intent* page (Figure 64), click the **Confirm** button. A *Success* message informs you that the user was successfully removed from the LOI.

---

**Note**

*Once a user has been removed from an Institution, that user cannot be re-instated through PAMS. The user needs to contact the PAMS Helpdesk to be re-instated to an Institution. Call (855) 818-1846 (toll free), (301) 903-9610, or email sc.pams-helpdesk@science.doe.gov.*
4.5.3.2.2 Manage Users by Preproposal

1. On the Manage Users page (Figure 58), click the icon next to By Preproposal.
2. All further actions for managing a user by preproposals are identical to those in Section 4.5.3.2.1, Manage Users by Letter of Intent.

4.5.3.2.3 Manage Users by Proposal

1. On the Manage Users page (Figure 58), click the icon next to By Proposal.
2. This expands the page, adding four fields as available search parameters (Figure 65).
3. All further actions for managing a user by proposals are identical to those in Section 4.5.3.2.1, Manage Users by Letter of Intent.

4.5.3.3 Manage Users at the Award Level

If you have the Manage Users privilege, you can assign peer access and privileges at the Award Level.
Follow the steps below to manage users at the Award level:

1. From the Institution Folder home page (Figure 46 or Figure 47) or the Institutions - List page Actions/Views link (Figure 44), click the Manage Users link.
2. This takes you to the Manage Users page (Figure 66). Note the option for managing users at the Award level.

   **Figure 66 Manage users "By Award"**

   ![Manage Users "By Award"](image)

3. Click the icon next to By Award.
4. This expands the page, adding two fields as available search parameters (Figure 67).

   **Figure 67 Manage Users “By Award” Search Fields**

   ![Manage Users “By Award” Search Fields](image)

5. Enter data for either or both of the fields. If you are not sure what to enter in any field, leave the fields blank to return all possible search results. Click the Cancel button to stop any further search action.
6. Click the Search button. Search results are displayed on the Manage Users – Awards page (Figure 68).

Figure 68 Manage Users - Awards Page

7. In the Options column for the Award of choice, click the Actions link and click the Manage Peer Access link to go to the Manage Peer Access – User List page (Figure 69). Here, you can view a list of all users who have access to the Award. In addition, you can add a new person to the Award, update a user’s peer access, or remove a user from the Award.
# Figure 69 Users - List Page

![Users List](image)

## Users List

This page lists all of the users who have access to the award. To add a new user, click the "Add New User" link on the left side of the screen and above the grid. To change an existing user, select the user and click "Edit."
5.0 HOW DO I MANAGE SUBMISSIONS IN PAMS?

Submissions in PAMS include the following:

- Proposals
- Preproposals
- Letters of Intent.

You can use PAMS to manage submissions as follows:

- Create/Edit/Delete/Submit Submissions
- View Submissions created by other users of the Institution (provided you have access).

5.1 How Do I Respond to a Solicitation?

Responding to a Solicitation could be through a Letter of Intent, Preproposal, or a formal DOE National Laboratory Proposal. Figure 70 summarizes the process for responding to a Solicitation:

Figure 70. Responding to a Solicitation

5.2 How Do I Search Solicitations?

The first step in managing submissions is to identify the Solicitation. Once the Solicitation is identified, you can respond with the appropriate submission requested.

5.3 I Am Not Logged in to PAMS

1. On the login page of PAMS, click the Search Solicitations link (Figure 71). The link is located under New User Registration on the right side of the page.
2. Choose an appropriate Solicitation list. You can view the Funding Opportunity Announcements by clicking the View a list of Funding Opportunity Announcements link, or you can view Lab Announcements by clicking the View a list of DOE National Laboratory Announcements (Figure 72).

5.4 I Am Logged in to PAMS

1. Click the Proposals tab and then click the Search Solicitations link (Figure 73).
2. Choose the Solicitation list. You can view the Funding Opportunity Announcements by clicking the View Funding Opportunity Announcements link, or you can view Lab Announcements by clicking the View DOE National Laboratory Announcements (Figure 74).

*Note: If you are responding on behalf of a National Lab, you will only be able to submit to a Funding Opportunity Announcement (FOA) if no Companion Lab Announcement exists. Submitting to a FOA when there is a Companion Lab Announcement available will result in an error.

5.4.1 Create and Submit a Preproposal

Follow the steps below to create and submit a Preproposal:

1. Click the Actions/Views link and then click the Submit Preproposal link (Figure 75).
2. Provide the required information on the \textit{Submit Preproposal} page. Note that fields marked by a red star are mandatory. To choose a PI, click the \textbf{Select PI} button (Figure 76).

![Figure 76. Submit Preproposal Page - Select PI Link](image)

3. Search for the PI using the search criteria. Click the \textbf{Action} link against the PI record and then click the \textbf{Select PI} link (Figure 77). If the PI is not registered to the Institution in PAMS, click the \textbf{Invite PI} link.
4. Complete the form by entering the required information. Note that fields marked by a red star are mandatory (Figure 78).

**Figure 78. Submit Preproposal - Attach File and Submit to DOE Links**

5. Click the **Attach File** button and select a file from your computer.

6. Click the **Attach** button to attach the Preproposal document.
7. Click the **Save** button to save the document in the *My Preproposals* list page for later completion.
8. Click the **Submit to DOE** button to submit the Preproposal.
9. PAMS will send an email acknowledging receipt of the submission to the PI.

### 5.4.2 Create and Submit a Letter of Intent

Follow the steps below to create and submit a Letter of Intent:

1. Click the **Actions/Views** link and then click the **Submit Letter of Intent** link (Figure 79).

**Figure 79. Funding Opportunity Announcements List - Submit Letter of Intent Link**

2. Provide the required information on the **Submit Letter of Intent** page. To choose a PI click the **Select PI** button (Figure 80).
3. Search for the PI using the search criteria. Click the **Action** link against the PI record and then click **Select PI**. If the PI is not registered to the Institution in PAMS, click the **Invite PI** link (Figure 81).

Figure 81. Select PI Page - Select PI Link
4. Complete the form by entering the required information (Figure 82). Note that fields marked by a red star are mandatory. Click **Attach File** and select your file. Click the **Attach** button to attach the Letter of Intent document. Click **Save** to save the document in the *My Letters of Intent* list page for later completion. Click **Submit to DOE** to submit the Letter of Intent.

5. PAMS will send an email acknowledging receipt of the submission to the PI.

**Figure 82. Submit Letter of Intent (LOI) Page – Submit to DOE Link**

![Submit Letter of Intent (LOI) Page – Submit to DOE Link](image)

5.4.3 *Create and Submit a Proposal*

You can submit a Proposal in PAMS only in response to DOE National Laboratory Announcements. For Funding Opportunity Announcements, Proposals must be submitted through Grants.gov only.

Follow the steps below to create and submit a Proposal in response to a DOE National Laboratory Announcement:

1. Search for DOE National Laboratory Announcements from the *Search Solicitations* tab. Click the **Actions/Views** link for a Solicitation and then click the **Submit Proposal** link (Figure 83).
2. Provide the required input information on the Cover Page (Figure 84). Note that fields marked by a red star are mandatory.

Figure 84. Cover Page - Top

3. From the Choose Action drop-down, select the save option of choice and click the Go button to start working on the Budget section.
4. On the Budget page (Figure 86), provide the necessary information for each year (fields marked by a red star are mandatory). Complete each section by clicking the icon against each section (Figure 87, Figure 88).

Figure 86. Budget Tab - Top Section
When entering budget information for multiple budget periods, you may enter the first budget period's information and click the Copy From Previous Period link (which appears in the screenshot immediately above) to copy data over from the previous period. This will eliminate you having to duplicate budget information for every year; you will merely have to edit the information after copying it over.

Figure 87. Budget Tab - Middle Section

<table>
<thead>
<tr>
<th># of Personnel</th>
<th>Project Role</th>
<th>Months</th>
<th>Requested Salary($)</th>
<th>Fringe Benefits ($)</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Total Other Personnel</th>
<th>Not Provided</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total Salary, Wages and Fringe Benefits (A+B)</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>#</th>
<th>Equipment Item</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| Total Equipment | Not Provided |

<table>
<thead>
<tr>
<th>#</th>
<th>Item</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 1. | Domestic Travel Costs (incl. Canada, Mexico, and U.S. Possessions) | Not Provided |
| 2. | Foreign Travel Costs | Not Provided |
|    | Total Travel | $0.00 |

<table>
<thead>
<tr>
<th>#</th>
<th>Item</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 1. | Tuition/Fees/Health Insurance | Not Provided |
| 2. | Stipends | Not Provided |
| 3. | Travel | Not Provided |
| 4. | Subsistence | Not Provided |
| 5. | Other | Not Provided |
|    | Number of Participant/Trainees (Not Provided) |                     |
|    | Total Participant/Trainee Support Costs | $0.00 |

<table>
<thead>
<tr>
<th>#</th>
<th>Item</th>
<th>Funds Requested ($)</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

| 1. | Materials and Supplies | Not Provided |
| 2. | Publication Costs | Not Provided |
| 3. | Consultant Services | Not Provided |
| 4. | ADP/Computer Services | Not Provided |
| 5. | Subawards/Consortium/Contractual Costs | Not Provided |
| 6. | Equipment or Facility/Rental/User Fees | Not Provided |
| 7. | Alterations and Renovations | Not Provided |
| 8. | Other | Not Provided |

| Total Other Direct Costs | $0.00 |

5. From the Choose Action drop-down, select the save option of choice and click the Go button to continue to the next section (Figure 88).
6. Use the Subawards tab only if you are submitting separate budgets for subawards. If not, please ignore this section and leave it blank. To provide subaward budgets:
   a. Go to the Subawards tab and click the Add Subaward link (Figure 89).
   b. Provide budget information (similar to the Budget page information in Step 4 above) for each subaward you wish.
   c. When you have finished providing the necessary information, choose the appropriate save option from the Choose Action drop-down. Click the Go button to continue to the next section.

7. On the Attachments tab (Figure 90), upload any necessary attachments (for more information on attaching files in PAMS, refer to Section 2.8, How to Attach a File in PAMS). Choose Save Attachments to do so. Once all sections are complete, choose Submit to DOE from the Choose Action drop-down.

**Note:** The Proposal Summary/Abstract and the Budget Justification attachments are mandatory for you to attach along with the Proposal.

8. Click the Go button to submit the Proposal to DOE.
5.4.4 Reopen and Resubmit a Submission

Once you have reopened a submission, you can modify and resubmit it to DOE. Please note, however, that once reopened, a submission will no longer be considered by DOE until you resubmit it.

In addition, once the due date has passed, you WILL NOT be able to make the resubmission to DOE.

You can reopen a submitted Preproposal, Letter of Intent, or Proposal (only for lab and interagency Proposals submitted in PAMS); modify it; and resubmit it before the due date of the original submission. Follow the steps below to reopen a submission:

1. Click the Proposals tab (Figure 91).
2. Click the View My Letters of Intent, View My Preproposals, or View My Proposals link to navigate to the respective list.
3. From the My Letters of Intent, My Preproposals, or My Proposals page, click the Action link.

4. Click the Reopen Preproposal, Reopen Letter of Intent, or Reopen Proposal link to reopen a submission that has already been submitted to DOE (Figure 92).

5. Edit the Preproposal, Letter of Intent, or Proposal, as required, and resubmit it to DOE using the options at the bottom of the page.

5.4.5 I Have Received an Invitation from DOE to Submit a Proposal in PAMS

*Note*

This applies to National Labs and other federal agencies only.

DOE can send invitations to National Labs and other federal agencies to submit Proposals. These invitations are sent as emails, and recipients must be registered to both the Institution and to PAMS to submit a Proposal.
If you are not registered to PAMS, please follow the instructions provided in How Do I Register to PAMS Using a Unique Registration Code? The email also provides instructions on how to register to PAMS. If another associate will create the proposal on your behalf, please forward this email to that person.

A link in the email enables you to submit a Proposal. Clicking this link will 1) ask you to login to PAMS, 2) automatically create a Proposal, and 3) take you to the My Proposals page. Then proceed as follows:

1. Once you are on your My Proposals page, edit the “In Progress” Proposal with the title Invite to Submit to the DOE Office of Science.
2. To edit the Proposal, select Edit Proposal under Actions/Views. To allow another person to edit the Proposal, you must give that person peer access by selecting Manage Peer Access under Actions/Views.
3. Refer to the Create and Submit a Proposal section of this document for detailed instructions on how to submit a Proposal in PAMS.

The proposal created will be assigned to the user who first clicks on the link in the email.

5.4.6 I Want To View Submissions from My Institutions

Follow the steps below to view any submissions associated with an Institution. You can view a submission if you are the PI on the submission, if you are the submitter, or if an individual with access to the submission grants you access via the Manage Peer Access functions.

1. Click the Proposals tab
2. Click View My Preproposals, View My Letters of Intent, or View My Proposals to see the list of submissions.
3. Click Actions and then click the View link to view the submission.

5.4.7 I Want To Manage Peer Access for a Submission

Peer Access is the concept of allowing select users to access submissions in PAMS. Peer Access can be managed at a submission level, by the users who created the submissions, from the My Proposals, My Preproposals, and My Letters of Intent pages.

Peer access can also be managed at an Institution level, from the Institution Folder, by users who have Administrative privileges. Peer Access can be extended only to users who are registered to the same Institution. Follow the steps below to manage peer access for a submission:

1. Click the Proposals tab after logging in to PAMS. Click the appropriate View links (Figure 93).
2. This will take you to the My Preproposals, My Letters of Intent, or the My Proposals page. Choose a submission record, click the Action link, and then click the Manage Peer Access link (Figure 94).

![Figure 94. Manage Peer Access Link](image)

3. You will now be taken to the Manage Peer Access - User List page (Figure 95). Click the Add New Person link to add a new user registered to the Institution to the submission. Click Manage Peer Access to manage existing user access.
4. Select check boxes to update peer access for users (Figure 96).

Figure 96. User Information

5. When you click Add User, you are taken to list page of existing users from your institution. Choose a user record, click the Action link, and then click Add User (Figure 97).

Figure 97. Existing Users Page: Add User Link

6. On the Manage Peer Access – User page, choose the privileges to be assigned to the user and click the Save and Continue button (Figure 98).
7. You are taken to the View Users – List page, where you will see a Success message. The new user will be displayed in the page’s grid.

For submissions with the status “Submitted to DOE,” the only privileges that can be managed are View and Manage Peer Access. For “In Progress” submissions, the following privileges can be managed:

- View
- Edit
- Delete
- Submit to DOE
- Manage Peer Access.

Any users with the Edit, Delete, Submit to DOE, or Manage Peer Access privilege will, by default, be assigned the View privilege. If you are the submission creator, you will be assigned all submission-level privileges by default. If you are the PI, but someone else submitted on your behalf, you will be assigned View privilege by default.
5.5 How Do I Withdraw a Proposal?

● Quick Summary ●

- **Who can withdraw a proposal?**
  o Any user with View and Withdraw privileges.

- **How does a user get those privileges?**
  o On the proposal, anyone with the Manage Peer Access privilege (usually a PI or an SRO/BO/AO) can grant users Withdraw privilege.
    - On the My Proposals page, for the proposal you want, click the Actions/Views link and click the Manage Peer Access link.
    - For an existing user, click the Manage Peer Access link and assign the Withdraw privilege. For a new user, assign both View and Withdraw privileges.
  o For the institution, the Admin SRO can grant user privileges for all institution proposals.
    - Within the Institutions Folder, click the Proposals link in left navigation menu.
    - For the proposal you want, click the Actions/Views link and click the Manage Peer Access link to provide the privilege.

Institutions have the capability to withdraw proposals. Admin SROs (i.e., SRO/BO/AO users with Manage Users, Manage Institution Profile, and Submit to DOE privileges for the institution) can grant other users from the same institution the privilege to withdraw proposals. The View Proposal privilege must also be granted to the user.

The PI/SRO for the proposal should automatically be given the Withdraw Proposal privilege in PAMS. When the PI and SRO/BO/AO successfully accesses a previously submitted Grants.gov proposal in the Proposals tab, the Withdraw privilege on the proposal is granted to this PI or SRO.

5.5.1 How Do I Get the Withdraw Privilege?

- **Through the Proposal:** Anyone with the Manage Peer Access privilege (usually a PI or an SRO/BO/AO) can grant users View and Withdraw privileges.
  o On the Guide Me page, click View My Existing Proposals.
  o On the My Proposals page, for the proposal you want, click the Actions/Views link and click the Manage Peer Access link.
  o For an existing user, click the Actions link and the Manage Peer Access link and assign the Withdraw privilege. For a new user, assign both the View and Withdraw privileges.

- **Through the Institution:** For the institution, the Admin SRO can grant user privileges for all institution proposals.
  o On the Guide Me page, click the Institutions tab.
  o For the institution you want, click the Actions/Views link and Institution Folder link.
  o Within the Institutions Folder, click the Proposals link in left navigation menu.
  o For the proposal you want, click the Actions/Views link and Manage Peer Access link to provide the Withdraw privilege.
5.5.2  Withdraw a Proposal

Follow the steps below to withdraw a proposal that has been submitted to DOE.

1. Log in to PAMS and click the Proposals tab to go to the Guide Me page (Error! Reference source not found.).

   Figure 99. Guide Me Page

2. On the Guide Me page, click the View My Existing Proposals link to go to the My Proposals page (Figure 100).
3. The proposal to be withdrawn must have a Proposal Status of Submitted to DOE. Click the Actions/Views dropdown for that proposal. Click the Withdraw Proposal link to go to the Withdraw Proposal – Confirm page (Figure 101).

Figure 101. Withdraw Proposal - Confirm Page

4. On the Withdraw Proposal – Confirm page:
5. When finished, click the **Confirm** button.

6. On the *My Proposals* page, a *Success* message informs you that the proposal was withdrawn (Figure 102). The status is updated to Withdrawn and you have access to the withdrawal documents from the context menu.

   **Figure 102. Withdraw Proposal Success Message**

   ![Withdraw Proposal Success Message](image1)

   **Figure 103. Proposal Status: Withdrawn**

   ![Proposal Status: Withdrawn](image2)
6.0 HOW DO I MANAGE AWARDS IN PAMS?

**Quick Summary**

- **Who can access awards in PAMS?**
  - By default, the PI, SRO/BO/AO, and Other (Point of Contact and Admin SRO for the Institution) user roles are given access privileges to awards. (Refer to Table 3 for more information on award privileges.) Additionally, any registered user from the institution may request access privileges to an award.

- **What are the privileges available at the award level?**
  - View awards privilege, Progress Report privileges, Award Modification Request privileges

- **How do users request privileges at the award level?**
  - Register to an institution in PAMS
  - Go to the Awards Folder and click the **Add Award to Portfolio** link to request privileges and add the award to your portfolio

- **What other actions can users take on awards?**
  - View and submit Progress Reports and Modification Requests
  - View other users with award privileges and change those privileges, if required.

Institution users can view their awards in PAMS. The following roles are identified on PAMS awards:

- PI
- SRO/BO/AO
- Other.

The following privileges may be requested by users at the award level:

- View privileges
- Progress Report privileges
- Award Modification Request privileges.

PAMS sends award-notification emails to users who are on awards. Award privileges are provided to institution users either by **automatic award association** or **manual award association**.

**Note**

*With the rollout of PAMS Iteration 5a, a user could receive many award-notification emails, depending on how many awards the user is associated. A user not registered to PAMS will receive multiple emails, but each email will have the same PAMS Registration Code. A user only needs one Registration Code to set up one PAMS account. If, however, a user is duplicated in the system (e.g., in the system as both “Steve” and “Stephen”), that user will need to use the different access codes he/she was emailed to access respective awards. Be aware that if you are emailed different Registration Codes, you must use them as necessary.*
**Automatic award association** means that an institution user already:

- Has the proper user roles to access awards.
- Has an active PAMS account.
- Is registered in PAMS to the institution.

Table 3 summarizes the award privileges granted to a PI/SRO/Admin SRO via Automatic Association.

### Table 3. PI/SRO/Admin SRO Automatic Award Privileges

<table>
<thead>
<tr>
<th>Award Feature</th>
<th>Program Award Privileges</th>
<th>SBIR Award Privileges</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>PI Automatic Award Privileges</td>
<td></td>
</tr>
<tr>
<td>Progress Report</td>
<td>View</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>Edit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Submit</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Administer</td>
<td></td>
</tr>
<tr>
<td>Award</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td>Award Modification Request</td>
<td>View</td>
<td></td>
</tr>
<tr>
<td></td>
<td>None</td>
<td>None</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th></th>
<th>SRO/Admin Automatic Award Privileges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Progress Report</td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>View</td>
</tr>
<tr>
<td></td>
<td>Edit</td>
</tr>
<tr>
<td></td>
<td>Submit</td>
</tr>
<tr>
<td></td>
<td>Administer</td>
</tr>
<tr>
<td>Award</td>
<td>View</td>
</tr>
<tr>
<td>Award Modification Request</td>
<td>View</td>
</tr>
<tr>
<td></td>
<td>None</td>
</tr>
<tr>
<td></td>
<td>View</td>
</tr>
<tr>
<td></td>
<td>Create</td>
</tr>
<tr>
<td></td>
<td>Edit</td>
</tr>
<tr>
<td></td>
<td>Delete</td>
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<tr>
<td></td>
<td>Submit</td>
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<td>Administer</td>
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<td></td>
<td>View</td>
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<td></td>
<td>Delete</td>
</tr>
<tr>
<td></td>
<td>Submit</td>
</tr>
<tr>
<td></td>
<td>Administer</td>
</tr>
</tbody>
</table>

**Manual award association** means that an institution user is not registered to PAMS and must do so before accessing awards. In this case, the institution user must:

- Register to PAMS using the Registration Code provided in the award-notification email sent by PAMS (see Section 3.1.2, How Do I Register to PAMS Using a Unique Registration Code?). OR
- Register in PAMS to the institution (see Section 3.1.3, How Do I Register to an Institution in PAMS?).
- Request awards privileges from an authorized approver, most often the PI or SRO/BO/AO.

**Note**: *The Award access feature is not available for Labs. However, Labs can view the award information from the Institution Folder (see Section 4.5, Institution Folder).*

### 6.1 How Do I View Award Information?

Users can view awards in their portfolio from the external Awards Folder.

1. On the *Guide Me* page, click the **Awards** tab to go to the *My Awards - List* page (Figure 105).
2. This page has all the awards to which you have privileges. If you do not see an award, click the **Add Award to Portfolio** link above the grid to go to the **Select Awards** page (Figure 106) and register to the award.

3. On the **Select Awards** page, you have several ways to choose choosing one or more awards to add to your portfolio (Figure 107). Refer to Table 4 for more information.
Figure 106. Select Awards Page

Figure 107. Select Awards Options
### Table 4. Select Award Options Explanation

<table>
<thead>
<tr>
<th>Link</th>
<th>Explanation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Individual checkboxes</td>
<td>• If you are only selecting one or two items from the list, simply click the <a href="#">Add to Portfolio</a> link in the Options column for each selection.</td>
</tr>
<tr>
<td></td>
<td>• You may also select several checkboxes and, when you are done, click the <a href="#">Add to Portfolio</a> button at the bottom of the page.</td>
</tr>
<tr>
<td>This page: Select all</td>
<td>• Click this link to select all the checkboxes on the current page.</td>
</tr>
<tr>
<td></td>
<td>• When you are done, click the <a href="#">Add to Portfolio</a> button at the bottom of the page.</td>
</tr>
<tr>
<td>This page: Unselect all</td>
<td>Click this link to unselect all the checkboxes on the current page. (You would likely click <strong>Unselect all</strong> after first selecting <strong>Select all</strong> and then changing your mind.)</td>
</tr>
<tr>
<td>Across pages: Select all</td>
<td>• Click this link to select all the checkboxes on all the pages available.</td>
</tr>
<tr>
<td></td>
<td>• When you are done, click the <a href="#">Add to Portfolio</a> button at the bottom of the page.</td>
</tr>
<tr>
<td>Across pages: Unselect all</td>
<td>Click this link to unselect all the checkboxes on all the pages available. (You would likely click <strong>Unselect all</strong> after first selecting <strong>Select all</strong> and then changing your mind.)</td>
</tr>
</tbody>
</table>

4. When you click the [Add to Portfolio](#) button, you are taken to the **Awards – Request Access** page (Figure 108). From this page, you can select the privileges you require for:

- **View Award** (must be approved by PI or SRO/BO/AO)
- **Progress Reports** (must be approved by PI or by the BO for SBIR/STTR awards)
- **Award Modification Requests** (must be approved by the SRO/BO/AO).

![Figure 108. Awards - Request Access Page](#)

5. Make your access-request selections by clicking the appropriate checkboxes and enter a justification for your selections in the mandatory **Comments** field.

6. Click the **Request Access** button to go to the **Awards – Request Access Results** page (Figure 109), where a **Success** message verifies that your requests were successfully submitted.
7. **Unsent Requests** (Figure 109, beneath *Success* message): Why is your request for award access in the *Unsent Requests* table?
   a. Your request for award access could not be sent to default approving official. That official may not be registered to PAMS and/or to the award.
   b. Click the **Authorized Approver** link to bring up contact information (Figure 110) for the person who can approve your request. You can contact that approver and explain that your submission was not successful.

8. **Sent Requests** (Figure 109, beneath *Unsent Requests*): Your request for award access is in the *Sent Requests* table.
   a. Your request for award access was successfully sent to default approving official because that official is registered to both PAMS and the award.
   b. You should receive approval or disapproval of your request via email. If you any problems, click the **Authorized Approver** link. Use the contact information there (Figure 110) to ask for assistance.

   ![Authorized Approver Contact Information (Sample)](image)

9. On the *Awards – Request Access Results* page, click either the **Return to Awards List** button or the **Request Access to Another Award** button.

10. Once your access request has been approved/disapproved, you will receive an email from PAMS (Figure 111).
A user can only request additional award privileges. A user cannot remove or change his/her own award privileges or request that they be removed. Only the award’s Admin user can remove a user’s existing award privileges (refer to Section 4.5.2, Manage Users at the Institution Level).

6.2 What Can I View in the Awards Folder?

Users may view all awards in their portfolios from the Awards Folder. To get to the Awards Folder:

1. From any PAMS page, click the Awards tab to go to the My Awards - List page (Figure 112).
2. Choose the award whose folder you wish to view. For that award, click the **Actions/Views** link and the **Award Folder** link to go to the **Award Folder** home page (Figure 113).

Figure 113. Awards Folder Home Page

3. Click the **Program Contact Info** link to see pertinent award information (Figure 114).
In the Program Content Info, the Primary and Secondary PM role is just PM, and the Primary or Secondary PSS role is PSS. The SBIR SS role appears as SBIR SS.

Figure 114. Program Contact Info Page

4. On the Award Folder home page, clicking the actual **NUMBER OF PENDING TASKS** link (e.g., in Figure 113, one would click the number 2), takes you to the Pending Tasks - List page (Figure 4). Any pending tasks for the award are listed there.

All other links on the Award Folder home page are discussed in the sections that follow.

6.2.1 Modification History

The Award Folder’s **Modification History** link opens a record of all modifications issued while the award has been active. This link is available to users who have the View privilege for the award.

To access an award’s modification history:

1. Go to an award’s Award Folder home page and click the **Modification History** link in the left navigation menu (Figure 115).

   **Figure 115. Modification History Link**

   2. This takes you to the **Modification History – List** page (Figure 116).
6.2.2 Products

The Award Folder’s Products link opens a read-only list of all products created while the award has been active. These products are populated from the products sections of previously submitted Progress Reports, Out of Cycle Reports, and Renewal Proposal Products. Products could include such items as inventions, patents, databases, books, etc. This link is available to all users who have View access to the award.

To access an award’s products:

1. Go to an award’s Award Folder home page and click the Products link in the left navigation menu (Figure 117).
2. This takes you to the Products – List page (Figure 118). Choose a product and click the View Product link to see a product description (Figure 119).

Figure 118. Products – List Page
6.2.3 Scheduled Progress Reports

The Award Folder’s Scheduled Progress Reports link opens a list of all Progress Reports and Out of Cycle Reports configured for the award. The list displays the Progress Report as the first record. This link is available to all users who have View access to Progress Reports.

To access an award’s scheduled Progress Reports:

1. Go to an award’s Award Folder home page and click the Scheduled Progress Reports link in the left navigation menu (Figure 120).

   Figure 120. Scheduled Progress Reports Link

2. This takes you to the Progress Reports Scheduled – List page (Figure 121). Choose a report and click its Report Contents link to see the various sections of the report (Figure 122).
6.2.4 Submitted Progress Reports

The Award Folder’s Submitted Progress Reports link opens a list of all Progress Reports submitted in PAMS for the award.

To access an award’s submitted Progress Reports:

1. Go to an award’s Award Folder home page and click the Submitted Progress Reports link in the left navigation menu (Figure 123).
2. This takes you to the Progress Reports Submitted – List page (Figure 124). Choose a report and click its Views link and Report PDF link to see the various sections of the report.

6.2.5 Modification Requests

If an award recipient wants a change to an award, the recipient can create an Award Modification Request and submit it to DOE. The award’s SRO/BO/AO user is automatically granted access to create modification requests; the SRO/BO/AO can grant access to other users to create these requests.

Award Modification Requests are of three types:

- **No Cost Extension:** A request to extend the budget period end date for project completion without requesting additional funding.
- **PI Transfer to a New Institution:** A request to permit a PI to transfer from one institution to another.
- **Change PI:** A request to change the PI for an award whose funding remains with the current institution.
6.2.5.1 No Cost Extension

To request a No Cost Extension award modification:

1. Go to an award’s Award Folder home page and click the Modification Requests link in the left navigation menu (Figure 125).

OR

On the My Awards – List page (Figure 112), click the Request Award Modification link in the context menu.

Figure 125. Modification Requests Link

2. On the Modification Requests – List page, click the Create New Request link at left above the grid (Figure 126).

Figure 126. Create New Request Link

3. On the Awards – Select Modification Type page, select No Cost Extension from the Request Type field (Figure 127).
4. On the Modification Request – No Cost Extension page, fill in all required fields marked by red stars (Figure 128). When finished, click the Submit to DOE button.

5. On the Modification Requests – List page, a Success message informs you that the request has been submitted successfully.

6.2.5.2 PI Transfer to a New Institution

To request a PI Transfer award modification:

1. Go to an award’s Award Folder home page and click the Modification Requests link in the left navigation menu (Figure 125).
2. On the **Modification Requests – List** page, click the **Create New Request** link at left above the grid (Figure 126).

3. On the **Awards – Select Modification Type** page, select **PI (Principal Investigator) Transfer to a New Institution** from the **Request Type** field (Figure 127).

4. This type of award modification requires that you fill out an SF-425 form:
   a. On the **Modification Request – PI Transfer to a New Institution** page (Figure 129), click the **Download** link and save the SF-425.pdf template to your computer. (Do the same with the form’s Instructions, if you need them.)

   ![Figure 129. Modification Request – PI Transfer to a New Institution Page](image)

   b. Print and fill out the SF-425 form. Then scan and save the completed form as a PDF file.
   c. On the **Modification Request – PI Transfer to a New Institution** page, click the **Attach File** button in the **SF-425 Attachment** section.
   d. Click the **Browse** button (Figure 130) to select the scanned SF-425.pdf file you saved.
   e. Enter an optional **Description** of the SF-425 form and click the **Upload** button.

   ![Figure 130. Browse for & Upload Completed SF-425 Form](image)

5. Enter a detailed description of the PI Transfer request in the required field.
6. When you have finished entering all required information, click the **Submit to DOE** button to send your request for approval.

7. On the *Modification Requests* – *List* page, a *Success* message informs you that the request has been submitted successfully.

### 6.2.5.3 Change PI

To request a Change PI award modification:

1. Go to an award’s *Award Folder* home page and click the *Modification Requests* link in the left navigation menu (Figure 125).

2. On the *Modification Requests* – *List* page, click the *Create New Request* link at left above the grid (Figure 126).

3. On the *Awards* – *Select Modification Type* page, select *Change PI (Principal Investigator)* from the *Request Type* field (Figure 127).

4. On the *Modification Request* – *Change PI* page (Figure 131), fill in all required fields marked by red stars:

   **Figure 131. Modification Request – Change PI Page**

   ![Modification Request - Change PI Page](image)

   a. In the *Current Principal Investigator* section, select the PI *Action to be Taken*.

   b. In the *Proposed Principal Investigator* section, click the **Select PI** button to go to the *Select PI* search page (Figure 132).
For an explanation of the word “like” in the Basic Search Parameters fields in Figure 132, refer to Section 2.6, Search Fields.

Figure 132. Select PI Search Page

i. Enter the PI’s first and/or last name and click the Search button.

ii. Choose a PI from the list that appears (Figure 133) by clicking the Select PI button in the Options column. If you cannot find the PI you want, go to Step iv below.

Figure 133. Select PI Search List Page

iii. On the Modification Request – Change PI page (Figure 131), the Proposed Principal Investigator fields are now filled in with the information of the PI you chose. Go to Step 5 below to complete the modification request.

iv. If the PI you want is not a registered PAMS user, you can send the PI an invitation to register, from the Select PI search results page (Figure 133), by clicking the Invite New PI button.

v. On the Invite PI to Register page (Figure 134), fill in the required fields marked by red stars.
vi. Enter an optional message to the prospective PI in the Comments field and click the Send Invitation button when finished.

vii. A Success message informs you that the invitation to register to the institution was successfully sent.

5. Enter a required Justification for the PI change request.

6. Upload the new PI’s resume/cv by clicking the Attach File button in the New PI Resume/CV Attachment section. Click the Browse button to select the Resume/CV file from your computer or network. Enter an optional Description of the attachment and click the Upload button.

7. When finished, click the Submit to DOE button. A Success message informs you that the request was submitted successfully.

6.2.6 Users: View List

Users with proper access (refer to Table 3) can view all other users who have access privileges to an award and take actions on those users.

1. Go to an award’s Award Folder home page and click the View List link in the left navigation menu (Figure 135). This takes you to the Users – List page (Figure 136), which shows all users registered to the award.

OR

On the My Awards – List page (Figure 112), click the Manage Users link in the context menu.

Figure 135. View List Link
2. To add a new user to the list who is not already registered to the award:
   a. Click the **Add New User** link at left above the grid.
   b. On the **Add User** page (Figure 137), choose the user you want and click the **Add User** button.
   c. In the **Manage User Access** section of the **Add User Access** page (Figure 138), click the checkboxes of the award privileges the new user must have. Click the **Select all** link to give the new user complete access privileges to the award.
   d. Click the **Save and Continue** button when done. A **Success** message informs you that user access has been successfully updated.
A user must already have a PAMS account and be registered to the award institution to appear in the search results list.

3. To change existing user’s award access:
   a. On the Users – List page (Figure 136), choose the user you want and click the Actions/Views link and the Update link in the Options column. The Update link will not display if an award access request for the user is pending approval.
   b. In the Manage User Access section of the Add User Access page (Figure 138), select or unselect the checkboxes of the user’s award privileges. Click the Select all or Unselect all link to add or remove all user access to the award.
   c. Click the Save and Continue button when done. A Success message informs you that user access has been successfully updated.

4. To remove an existing user’s award access:
a. On the *Users – List* page (Figure 136), choose the user you want and click the *Actions/Views* link and the *Remove* link in the *Options* column.

b. A *Confirmation* message (Figure 139) appears to caution you that removal of the user’s award access is irreversible.

c. Click the *Confirm* button to remove the user’s award access or click the *Cancel* button to leave the user’s access as is. If you click *Confirm*, a *Success* message informs you that the user has been successfully removed from the current award.

![Figure 139. Confirm Removal of Award Access](image)

### 6.2.7 Useful Links

At the bottom of the *Award Folder* home page are a set of *Useful Links* (Figure 140). The Useful Links available to you are directly related to the access privileges you have for each award. In the sections that follow, the links will be explained or referenced to another section of this manual.

![Figure 140. Award Folder: Useful Links](image)

#### 6.2.7.1 View Proposal(s) Link

Click this link to go to a filtered *My Proposals* page, which shows all proposals related to the current award.

#### 6.2.7.2 View Existing Award Modification Requests Link

Refer to Section 6.2.1, *Modification History*. This link is only available to users who have *View* access to Award Modification Requests.
6.2.7.3 Create New Award Modification Request Link

Refer to Section 6.2.5, Modification Requests. This link is only available to users who have Create access to Award Modification Requests.

6.2.7.4 View Progress Reports Currently Due Link

This link is only available to users who have the Edit privilege for Progress Reports. Click this link to go to a filtered Progress Report - List page, which only shows Progress Reports for the current award.

Click the Actions link in the Options column to start or edit the Progress Report. For more information on this action, refer to Section 9.1, Progress Reports.

Figure 141. Progress Report – List Page

6.2.7.5 View Progress Reports Scheduled Link

This link is only available to users who have the View privilege for Progress Reports. For more information on this action, refer to Section 6.2.3, Scheduled Progress Reports.

6.2.7.6 View Submitted Progress Reports Link

This link is only available to users who have the View privilege for Progress Reports. For more information on this action, refer to Section 6.2.4, Submitted Progress Reports.

6.2.7.7 View Products List Link

This link is only available to users who have the View privilege for the award. For more information on this action, refer to Section 6.2.2, Products.

6.2.7.8 Approve Award Access Requests Link

This link is only available to users with Administer access for the award. Click this link to approve/disapprove other users’ requests for award privileges. For more information on who can perform this action, refer to Table 3.

Users can request the following access types:

- **Progress Reports**: Available privileges are View, Edit, Submit, and Administer. Access granted for Progress Reports will also automatically be granted for Out of Cycle Reports and Renewable Proposal Products.
- **Award Modification Requests**: Available privileges are View, Create, Edit, Submit, Delete, and Administer.
- **Award Level**: Only the View privilege is available.
1. On the Award Folder home page (Figure 140), click the Approve Award Access Requests link to go to the Award Access Request — List page (Figure 142). This page lists the access requests submitted by other users who wish privileges for the Award folder in PAMS.

   **Figure 142. Award Access Request – List Page**

2. Choose the user request you want and in the Options column, click the Approve/Disapprove Access link to go to an Award Access Request page for the type of access requested. For example, Figure 143 shows an Award Access Request page for Progress Report.

   **Figure 143. Approve/Disapprove Award Access Request Page**

3. Review the Access Requested section and select Approve or Disapprove in the Action section.

4. Click the Save and Continue button when finished. A Success message informs you that the approval or disapproval action was successful.

6.2.7.9 Manage Award Access Link

This link enables you to update award access for an existing user, remove an existing user from an award, or add a new user to an award and grant that user award access. This link is only available to users with Administer access for the award.
**Note**

The Update link under the Actions/Views dropdown is not available if the user has a pending awarding access request.

1. On the Award Folder home page (Figure 140), click the Manage Award Access link to go to the Users — List page (Figure 144). This page lists all users with privileges for the award.

   **Figure 144. User – List Page**

   ![User – List Page](image)

2. Choose the user you want and in the Options column, click the Actions/Views link.

3. To update an existing user's privileges:
   a. Click the Update link to go to the Awards – Update User Access page (Figure 145).

   **Figure 145. Awards – Update User Access Page**

   ![Awards – Update User Access Page](image)

   b. In the Manage User Access section, select or unselect the checkboxes of the privileges the user requires (or does not require) for Progress Reports, Award Modification Requests, or the Award itself. If you want to add or remove all user privileges, click the Select all or Unselect all link.
c. Click the **Save and Continue** button when you are finished. A **Success** message informs you that user privileges were successfully updated.

4. **To remove an existing user:**
   a. Click the **Remove** link to go to the **Awards – Update User Access** page (Figure 145).
   b. A **Confirmation** message (Figure 139) appears to caution you that removing a user from an award is irreversible.
   c. Click the **Confirm** button to remove the user’s access to the award, or click the **Cancel** button to leave the user’s access in place. If you click **Confirm**, a **Success** message informs you that the user has been successfully removed from the current award.

5. **To add a new user:**
   a. Click the **Add New User** link at left above the grid to go to the **Awards – Add User** page (Figure 146).

   ![Figure 146. Awards – Add User Page](image)

   b. Use the search filters or click the **Search** link at right above the grid to find the user you want to add to this award.
   c. In the search results list, click the **Add User** link to go to the **Awards – Add User Access** page (Figure 147).
   d. In the **Manage User Access** section, click the checkboxes of the award privileges the user requires for **Progress Reports**, **Award Modification Requests**, or the **Award** itself. If you want to give the user all award privileges, click the **Select all** link.
   e. Click the **Save and Continue** button when you are finished. A **Success** message informs you that user access was successfully updated.

   **Note**

   *A user must already have a PAMS account and be registered to the award institution to appear in the search results list.*
6.2.7.10 Request Additional Award Access Link

This link is available to all users and enables you to request additional award privileges for yourself. The award privileges that you currently have, however, cannot be unselected.

1. On the Award Folder home page (Figure 140), click the Request Additional Award Access link to go to the Awards — Request Additional Access page (Figure 148).

2. In the Select Level of Access section, click the checkboxes of the additional privileges you want for Progress Reports, Award Modification Requests, or the Award itself. If you want all privileges for the award, click the Select all link.

3. Enter required Comments justifying your additional access request.

4. Click the Request Access button when done. A Success message informs you that you have successfully requested access, and you will be notified by email when your request has been approved or disapproved.

As soon as a user’s new request for access is approved, that user’s current access, if any, is disabled.

6.3 How Do I Change the Award SRO/BO/AO?

The Administrative SRO/BO/AO user is automatically granted access to change an Award’s SRO/BO/AO.
To change an Award SRO/BO/AO:

1. From the Institution Folder home page (Figure 150) or the Institutions - List page Actions/Views link (Figure 151), click the Manage Users link.

   **Figure 149 Institution Folder Home Page (Admin Privileges for non-SBIR Institution)**

   ![Institution Folder Home Page](image1)

   **Figure 150 Institution -- List Page**

   ![Institution List Page](image2)

2. This takes you to the Manage Users page (Figure 152). Note the option for managing users at the Award level.

   **Note**: You cannot make yourself an Award SRO/BO/AO. You can only make other users an Award SRO/BO/AO if you have the assigned privileges to do so.
3. Click the icon next to By Award.
4. This expands the page, adding two fields as available search parameters (Figure 153).
5. Enter data for either or both of the fields. If you are not sure what to enter in any field, leave the fields blank to return all possible search results. Click the Cancel button to stop any further search action.

Figure 152 Search by Award

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**Note**

The word “like,” as used for the search fields in Figure 153, means that if you are uncertain of the exact Award Number or Award Title you are searching for, you can enter part of the number or title. For example, if you know that “4607” is part of the Award Number (as in ER46076), you could enter “4607” or just “46” in the search field.

6. Click the Search button. Search results are displayed on the Manage Users – Awards page (Figure 154).
7. On the Manage Users – Awards page (Figure #), click the Actions link and click the Change Award SRO/BO/AO link to go to the Change Award SRO/BO/AO – User List page (Figure 155).

8. On the Change Award SRO/BO/AO – User List page (Figure 155) click the “Make Award SRO/BO/AO” link in the Options column to designate a new SRO/BO/AO for that Award. The System will display a confirmation page. (Figure 156)
9. Click the Confirm button to change the Award SRO/BO/AO or click the Cancel button to keep the current Award SRO/BO/AO. If you click Confirm, a Success message informs you that the Award SRO/BO/AO has been successfully changed (Figure 157).

Figure 156 Change Award SRO/BO/AO Success Message

**Note:** Changing an Award’s SRO/BO/AO will change the previous Award SRO/BO/AO role to "Other", but will not change the previous Award SRO/BO/AO’s Award privileges.
7.0 HOW DO I VIEW PROPOSAL REVIEWS?

You will be able to view the reviews that have been submitted for Proposals submitted by your Institution. Reviews can only be viewed after a decision has been made for the Proposal and the reviews have been approved for release by the DOE.

1. Click the Proposals tab on the top of the screen.
2. Click the View My Existing Proposals link to go to the My Proposals page (Figure 157).

![Figure 157. My Proposals Page]

3. On the My Proposals page, you see the list of existing Proposals and can select a Proposal to view the reviews. Click the Actions/Views link in the Options column.
4. Click the Review link to view the list of reviews submitted for the Proposal.

**Note**

Review are only available for submitted Proposals for which a decision has been made by DOE.
8.0 WHAT TASKS ARE COMPLETED POST SUBMISSION?
This section covers tasks that are performed by external PAMS users after proposal submission.

8.1 How Do I Submit a Public Abstract?
After a Program Manager (PM) recommends a proposal for funding, the PI is asked to submit a Public Abstract. The Public Abstract provides a technical summary of the research that will be funded and is intended for reading by the general public.

Remember that you have already submitted a Proposal Abstract in your Grants.gov application package. For submittal of the Public Abstract, you may want to copy-and-paste and/or edit the Proposal Abstract for resubmittal.

1. From the PAMS home page (Figure 3), click the Tasks tab to go to the Pending Tasks – List page (Figure 158). For information on what your Pending Tasks are and how you access them, refer to Section 2.7.

2. For the Submit Public Abstract task you want to work on, click the Submit Abstract link in the Options column. You can use the Search link at the top of the page to enter criteria and perform a search.

Figure 158. Pending Tasks List: Submit Public Abstract

3. On the Edit Public Abstract page (Figure 159):
   a. Click the Instructions link for help with writing your abstract.
   b. Enter your text in the Public Abstract field.

4. Click the View Proposal Abstract link, at any time, to review and/or copy and paste from what you wrote when you submitted the proposal.
5. Click one of the following buttons before leaving this page:

- **Cancel** stops any changes you have made to the Public Abstract.
- **Save** retains the public abstract in its current form; a **Success** message confirms that the abstract was saved.
- **Submit** sends the public abstract for review; a **Success** message confirms submittal.

**Note**

*If the PM completes and submits the Public Abstract on behalf of the PI, this task will be removed from the PI’s queue. An email will be sent to the PI that the task has been cancelled.*

### 8.2 How Do I Complete a Revised Budget?

While making a decision on a proposal, the PM can ask the PI and SRO to complete and submit a Revised Budget for the proposal. At this time, the PI receives a task to **Complete the Revised Budget**. Once the PI has completed the task, the SRO receives a task to **Submit the Revised Budget to DOE Office of Science**.

**Note**

*In the event the PI and SRO on the proposal are the same individual, the PI on the proposal will receive the tasks to both Complete the Revised Budget and Submit the Revised Budget to DOE Office of Science.*

While reviewing the Revised Budget, the SRO may decide to request a few more revisions to the Revised Budget completed by the PI. In this case, the PI receives the **Complete Revised Budget** task again.

**Note**

*A Revised Budget may be requested for Grants.Gov Proposals, Paper Proposals, or Interagency Proposals.*

The **Complete Revised Budget** task is created for any user registered to the institution who also has the **Submit to DOE** privilege. You can check your privileges using the Manage Peer Access action described in Section 5.4.7, **I Want to Manage Peer Access for a Submission**. You must have the **Submit to DOE** privilege for the proposal in order to receive a **Complete Revised Budget Task** in the Pending Tasks queue.
If you are not registered to PAMS, you will receive an email asking you to first register to PAMS. You must follow the steps as described in Section 3.1.1, How Do I Register to PAMS?, to register to PAMS and then you will be able to work on the Complete Revised Budget task.

8.2.1 Grants.gov and Paper Proposals

1. From the PAMS home page (Figure 3), click the Tasks tab to go to the Pending Tasks – List page (Figure 160). For information on what your Pending Tasks are and how you access them, refer to Section 2.7.

2. For the Complete Revised Budget task you choose, click the Start Revised Budget link in the Options column to go to the Complete Revised Budget page (Figure 161). If necessary, use the Search link at the top of the page to enter criteria and perform a search.

Figure 160. Pending Tasks - List: Complete Revised Budget

Figure 161. Complete Revised Budget Page

3. On the Complete Revised Budget page, three tabs are available: Cover Page, Budget, Subawards and Attachments. The Cover Page tab has a green checkmark ✓, which means the information there is complete. The Budget and Attachments tabs have green checkmarks with a slash /, which means that you have to complete those sections.

4. Click the Budget tab (Figure 162). Budgets are required for the entire project period. A budget form should be completed for each budget period of the award, and a cumulative budget form for the entire project period will be populated by PAMS. A detailed budget justification narrative
should be included after the budget pages. The justification should cover labor, domestic and foreign travel, equipment, materials and supplies, and anything else that will be covered with project funds.

a. **Budget Period 1 – Budget Period 5 Tabs:** Tabs represent budget for each period.

b. **Budget Summary Tab:** Provides a cumulative amount of all budget periods and is calculated by PAMS.

c. **Add Budget Period:** Click on this button to add a new Budget Period tab. The button is hidden after Budget Period 5 tab has been added. The Delete Budget period option allows you to delete the last budget period.

d. **Copy from Previous Budget Period:** Click button to populate the budget fields in the current (currently-being-viewed) budget period tab with data from the previous budget period tab (Current Budget Period Number minus 1), overwriting any data that had been previously entered on the current budget period tab. Button is displayed on Budget Period 2 – Budget Period 5 tabs.

e. **Edit Icon:** Click on the Edit icon to update each section.

5. Click the **Budget Tab Instructions** link to view a detailed description on how to enter information for each section in the Budget Tab.

---

**Note**

*You can copy information for a Budget Period from the Previous Budget Period. To do so simply click the Copy From Previous Period link (Figure 162) to bring over data from the previous period (this does not apply to Period 1). This eliminates duplicating budget information for every year; information only has to be edited after copying.*
6. Update all budget sections, as required.
7. When done making all required updates, click the **Choose Action** drop-down arrow. Select appropriate option (Step a. or b. below) and click the **Go** button.

   a. Selecting the *Save All Budget Periods* option saves the budget updates you just made, keeps you on this page, and provides a *Success* message informing you that the Revised Budget was saved successfully (Budget tab now has a ✓). You will still have to complete the Attachments tab, at some point, complete that section. When you return at a later time, start with Step 8.

   b. Selecting the *Save All Budget Periods and Continue to Next Section* option saves the budget updates you just made (Budget tab now has a ✓) and takes you directly to the Attachments tab (Figure 163). Proceed to Step 8.

**Figure 163. Attachments Tab**

8. To attach supporting documents to the *Revised Scope* section or the *Subaward Budgets Attachments* section, click the **Attach File** button for the section. (If necessary, refer to Section 2.8, *How to Attach a File in PAMS*, for further instructions.)

9. When done with attachments, click the **Choose Action** drop-down arrow, select the appropriate option (Step a or b below), and click the **Go** button.

   a. Selecting the **Save Attachments** option saves the attachments you just made and a *Success* message confirms that the Revised Budget was saved successfully (Attachments tab now has a ✓). You will still have to submit the completed revised budget to the SRO/BO/AO at some point. When you return at a later time, start with Step b below.

   b. Selecting the **Save Attachments and Submit To SRO/BO/AO** option saves the attachments you added (Attachments tab now has a ✓). In addition, you are taken to the *Request Review of Revised Budget* page (Figure 164) if no SRO is registered to the Institution, or if no one has the *Submit to DOE* privilege. If there is an Admin SRO who has the *Submit to DOE* privileges, the *Request Review of Revised Budget* page does not appear.
8.2.2 Request Review of the Revised Budget

After completing the Revised Budget, the SRO from the institution with Edit Revised Budget and Submit privileges will receive a task to review and submit the Revised Budget to the DOE Office of Science. If there is no SRO at the institution with these privileges, PAMS will provide you with an option to invite an SRO to register to PAMS. That SRO will then review and submit the Revised Budget to DOE Office of Science.

After completing and submitting the Revised Budget to the SRO, you will be navigated to the Request Review of Revised Budget page (Figure 164).

1. Fill in the mandatory SRO/BO/AO name and email address fields, which are marked by red stars (★).
2. Comments can be added in the Comments field, if desired.
3. When finished, click the Send Email button. You are returned to the Complete Revised Budget - List page where a Success message confirms that the revised budget was successfully submitted to the SRO/BO/AO.

Figure 164. Request Review of Revised Budget Page

8.2.3 Complete Revised Budget for Interagency Proposals

The Complete Revised Budget steps for interagency proposals are similar to the ones for Grant.gov and Paper proposals with the exception of an additional Subawards Tab in the Complete Revised Budget page and the sections in the attachments tab.

1. From the PAMS home page (Figure 3), click the Tasks tab to go to the Pending Tasks – List page (Figure 160). For information on what your Pending Tasks are and how you access them, refer to Section 2.7.
2. For the Complete Revised Budget task you choose, click the Start Revised Budget link in the Options column to go to the Complete Revised Budget page (Figure 165). If necessary, use the Search link at the top of the page to enter criteria and perform a search.
3. On the Complete Revised Budget page, four tabs are available: Cover Page, Budget, Subawards, and Attachments. The Cover Page and the Subawards tabs have a green checkmark ✔, which means the information there is complete. Although the Subawards tab (Figure 166) is optional and completed, you may want to add Subawards Budget information, if necessary. The Budget and Attachments tabs have green checkmarks with a slash ✔, which means that you have to complete those sections.

![Figure 165. Complete Revised Budget Page](image)

4. Click the Budget tab (Figure 162). The Budget tab is similar to the one for Grants.gov and Paper proposals. Please refer to Section 8.2.1, Grants.gov and Paper Proposals, for further instructions on how to complete the Budget tab.

5. To add Subaward, click the Add Subaward link to go to Revised Budget Subawards page (Figure 167)

6. Complete the Subaward Information section.

7. Complete all budget sections, as required. To access a section’s information for updating, click the update icon ✎ next to the section name.
Figure 167. Revised Budget Subawards Page
8. To include the Subaward Budget Justification, upload the file in the Subaward Budget Justification Attachment section of the Subaward Budget as shown in Figure 167.

9. When done making all required updates, click the **Choose Action** drop-down arrow. Select appropriate option (Step a. or b. below) and click the **Go** button.
   a. Selecting the **Save All Subaward Budget Periods** option saves the budget updates you just made, keeps you on this page, and provides a **Success** message informing you that the Subawards section was saved successfully.
   d. Selecting the Save All Budget Periods and Close options saves the Subawards updates you just made and takes you back to the Subawards tab (Figure 166). Proceed to Step 10.
   e. Once you are back to the Subawards tab, you can either delete or update the subaward you just added.

**Figure 168. Attachments Tab**

10. To attach supporting documents to the Revised Scope section or the Budget Justification section, click the **Attach File** button for the section, as shown in Figure 168. (If necessary, refer to Section 2.8, How to Attach a File in PAMS, for further instructions.)

11. When done with attachments, click the **Choose Action** drop-down arrow, select the appropriate option (Step a or b below), and click the **Go** button.
   a. Selecting the **Save Attachments** option saves the attachments you just made and a **Success** message confirms that the Revised Budget was saved successfully (Attachments tab now has a green check mark ✔). You will still have to submit the completed revised budget to the SRO/BO/AO at some point. When you return at a later time, start with Step b below.
   b. Selecting the **Save Attachments and Submit To SRO/BO/AO** option saves the attachments you added (Attachments tab now has a ✔). In addition, you are taken to the Request Review of Revised Budget page (Figure 164) if no SRO is registered to the Institution, or if no one has the Submit to DOE privilege. If there is an Admin SRO who has the Submit to DOE privileges, the Request Review of Revised Budget page does not appear.
12. Once the Revised Budget is complete, you can submit it to the SRO for review. In case the institution does not have an SRO with Edit Revised Budget and Submit Revised Budget privileges, follow the steps mentioned in Section 8.2.2 to invite an SRO.

8.2.4  **How Do I Submit a Revised Budget**

A PM recommends a proposal but requests a revised budget be submitted by the SRO. A PI originally completed the budget form but does not have the privilege to submit it to DOE. The Administrative SRO receives a task to submit the revised budget to DOE.

**Note**  
*A Submit Revised Budget task is for the SRO role only.*

The Submit Revised Budget task can be for Grant.gov proposals, paper proposals, and interagency proposals.

**8.2.4.1  Submitting a Revised Budget for Grants.gov and Paper Proposals**

1. From the PAMS home page (Figure 3), click the **Tasks** tab to go to the **Pending Tasks – List** page (Figure 169). For information on what your Pending Tasks are and how you access them, refer to Section 2.7.

2. Find the Submit Revised Budget task you want to work on and click the **Start Revised Budget** link in the **Options** column. You can use the **Search** link at the top of the page to enter criteria and perform a search.

   **Figure 169. Pending Tasks List - Page: Submit Revised Budget**

3. On the **Submit Revised Budget** page (Figure 170), three tabs are available: **Cover Page, Budget, and Attachments**.

   **Note**  
   *A green checkmark ✔ next to a tab means the information there is complete. A green checkmark with a slash ✔️ next to a tab, means the information there is incomplete.*

4. Click the **Budget** tab. Budgets are required for the entire project period. A budget form should be completed for each budget period of the award, and a cumulative budget form for the entire project period will be populated by PAMS. A detailed budget justification narrative should be included after the budget pages. The justification should cover labor, domestic and foreign
travel, equipment, materials and supplies, and anything else that will be covered with project funds.

a. **Budget Period 1 – Budget Period 5 Tabs:** Tabs represent budget for each period.

b. **Budget Summary Tab:** Provides a cumulative amount of all budget periods and is calculated by PAMS.

c. **Add Budget Period:** Click on this button to add a new Budget Period tab. The button is hidden after Budget Period 5 tab has been added. The Delete Budget period option allows you to delete the last budget period.

d. **Copy from Previous Budget Period:** Click button to populate the budget fields in the current (currently-being-viewed) budget period tab with data from the previous budget period tab (Current Budget Period Number minus 1), overwriting any data that had been previously entered on the current budget period tab. Button is displayed on Budget Period 2 – Budget Period 5 tabs.

e. **Edit Icon:** Click on the Edit icon to update each section.

5. Click the **Budget Tab Instructions** link to view a detailed description on how to enter information for each section in the **Budget** tab.

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**Note**

*When entering budget information for multiple budget periods, simply click the Copy From Previous Period link to copy data over from the previous period. This will eliminate you having to duplicate budget information for every year; you will merely have to edit the information after copying it over.*
Figure 170. Submit Revised Budget Page
6. To access a section’s information for updating, click the update icon next to the section name and update all information, as needed.

7. When finished, click the Choose Action dropdown, select the appropriate action, and click the Go button. Proceed to Step 8.
   a. Selecting Save All Budget Periods saves the work you have done to this point for later retrieval.
   b. Selecting Save All Budget Periods and Continue to Next Section saves your work and takes you to the Attachments tab.
   c. Selecting Submit to DOE sends the Revised Budget to DOE. A Success message confirms successful submission.
   d. Selecting Request Further Revision takes you to the Request Revision on Revised Budget page (Figure 160). Enter the name of the PI who will perform further revisions on the budget. Enter Comments, if necessary, and click the Request Revision button.

   Figure 171. Request Revision on Revised Budget Page

8. Click the Attachments tab (Figure 172) to bring up the attachments already uploaded to PAMS.
To access an attachment’s information, click the Actions link in the Options column. Click either the Update Description or Delete link. Update Description enables you to change the attachment’s description. Delete completely removes the attachment. If you want to upload new attachments, click the Attach File button and select a file from your computer. (If necessary, refer to Section 2.8, How to Attach a File in PAMS, for complete instructions.)

When you are finished with all updates, click the Choose Action drop-down list arrow, select the appropriate save option, and click the Go button.

Selecting Save Attachments saves the work you have done to this point for later retrieval.

Selecting Submit to DOE sends the Revised Budget to DOE. A Success message confirms successful submission.

Selecting Request Further Revision takes you to the Request Revision on Revised Budget page (Figure 160). Enter the name of the PI who will perform further revisions on the budget. Enter Comments, if necessary, and click the Request Revision button.

8.2.4.2 Interagency Proposals

The Submit Revised Budget steps for interagency proposals are similar to the ones for Grant.gov and Paper Proposals, with the exception of an additional Subawards tab on the Complete Revised Budget page and the sections in the Attachments tab.
1. From the PAMS home page (Figure 3), click the **Tasks** tab to go to the *Pending Tasks – List* page (Figure 173). For information on what your Pending Tasks are and how you access them, refer to Section 2.7.

   **Figure 173. Pending Tasks List - Page: Submit Revised Budget**

2. Find the Submit Revised Budget task you want to work on and click the **Start Revised Budget** link in the *Options* column. You can use the *Search* link at the top of the page to enter criteria and perform a search.

3. On the Submit Revised Budget page (Figure 174), four tabs are available: *Cover Page, Budget, Subawards* and *Attachments*.

   **Figure 174. Submit Revised Budget page**

   A green checkmark ✓ next to a tab means the information there is complete. A green checkmark with a slash ✓ next to a tab means the information there is incomplete.

4. Click the **Budget** tab and proceed as follows: The budget tab is similar to the one for Grant.gov and paper proposals. Please refer to Section 8.2.1, *Grants.gov and Paper Proposals*, for further instructions on how to complete the Budget tab.

5. To add Subaward from the *Subawards* tab (Figure 175), click the **Add Subaward** link to go to *Revised Budget Subawards* page (Figure 176).
6. Complete the **Subaward Information** section.

7. Complete all Budgets sections, as required. To access a section’s information for updating, click the update icon next to the section name.

8. Attach the Budget Justification file in the Subaward **Budget Justification Attachment** section.

9. When done making all required updates, click the **Choose Action** drop-down arrow. Select appropriate option (Step a. or b. below) and click the **Go** button.
   a. Selecting the **Save All Subaward Budget Periods** option saves the budget updates you just made, keeps you on this page, and provides a Success message informing you that the Subawards Section was saved successfully.
   b. Selecting the **Save All Budget Periods and Close** option saves the Subawards updates you just made and takes you back to the **Subawards** tab. Proceed to Step 10.
   c. Once you are back to the **Subawards** tab, you can either delete or update the subaward that you just added.

10. Click the **Attachments** tab (Figure 177) to bring up the attachments already uploaded to PAMS.
a. To access an attachment’s information, click the Actions link in the Options column.
b. Click either the Update Description link or Delete link. Update Description enables you to change the attachment’s description. Delete completely removes the attachment.
c. If you want to upload new attachments, click the Attach File button and select a file from your computer. (If necessary, refer to Section 2.8, How to Attach a File in PAMS, for complete instructions.)

11. When you are finished with all updates, click the Choose Action drop-down list arrow, select the appropriate save option, and click the Go button.
   a. Selecting Save Attachments saves the work you have done to this point for later retrieval.
   b. Selecting Submit to DOE sends the Revised Budget to DOE. A Success message confirms successful submission.
   c. Selecting Request Further Revision takes you to the Request Revision on Revised Budget page (Figure 160). Enter the name of the PI who will perform further revisions on the budget. Enter Comments, if necessary, and click the Request Revision button.
8.3 Proposal Reviews

Research funding from the DOE Office of Science is awarded through a merit-based selection process. Merit review means a thorough, consistent, and objective examination of Proposals, based on pre-established criteria by persons who are:

- Independent of those submitting the applications
- Knowledgeable in the field of endeavor for which support is requested.

PMs perform initial evaluations of all applications to ensure that the required information is provided, the proposed effort is technically sound and feasible, and that the effort is consistent with program-funding priorities.

For Proposals that pass the initial evaluation, program managers use peer review to evaluate them, based on criteria specified in 10 CFR 605. Common review criteria are:

- Scientific and/or technical merit of the project
- Appropriateness of the proposed method or approach
- Competency of applicant’s personnel and adequacy of proposed resources
- Reasonableness and appropriateness of the proposed budget
- Other notable factors established and set forth in a notice of availability or in a specific Solicitation.

This section covers the Proposal review tasks assigned to reviewers within PAMS. Proposals assigned to reviewers for review show up as tasks in PAMS. To learn how to view and access your tasks, refer to Section 2.7, Access Tasks. This section provides detailed instructions to perform a Proposal review task in PAMS.

8.3.1 How Do I Perform Proposal Review?

When Proposals are assigned to you for review by DOE Staff, a review task will be assigned to you in PAMS. A review task can be of one of the following types:

- **Mail In Review**: Mail In reviews are performed one proposal at a time in PAMS. Each Proposal assigned to you for a mail-in review appears as a separate pending task in PAMS. You can view the Proposal details, enter your evaluation, and submit the Proposal review to the DOE Office of Science.
- **Panel Review**: For typical panel reviews, 10-15 reviewers convene in a conference room and submit reviews. Each reviewer provides his or her own input. Each panel appears as a single task in PAMS. All Proposals within the panel are available from the single task. You can view each
Proposal, enter your evaluation, and submit the Proposal review to the DOE Office of Science from within the Panel Review task.

- **Scoring Only**: As a follow-up to a panel, Proposals within the panel are scored or ranked. A single task is created in PAMS for a reviewer to score or rank multiple Proposals. You can enter a score or rank, provide comments for each Proposal in the task, and submit the same to the Office of Science.

The *Task* column on the *Pending Tasks – List* page (Figure 179) displays the review type of the task.

**Figure 179. Pending Tasks – List Page**

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### 8.3.1.1 Conflict of Interest (COI) Certificate

As a reviewer, you are required to comply with COI rules. You have a COI if:

- Reviewing particular material would have a direct and predictable effect on any person, company, or organization with which you have a relationship—financial or otherwise.
- The interests of your spouse, minor child, general partner, or organization in which you serve as an officer, director, trustee, general partner, or employee—and any person or organization with whom you are negotiating employment—are attributed to the reviewer.

In other words, if you believe that performing a review you have been assigned will affect you, a family member, current or potential business partner or fellow business officer, or any current or potential employer, you have a COI.

**Note**

*If you have any questions about what constitutes a COI, contact the program manager.*

You must agree to disclose any COIs discovered during the course of the review process. PAMS enables you to view the Solicitation and Proposal Abstract information. Based on this information, you can decide initially if you have a conflict in reviewing the Proposal. You can read the COI certificate (Figure 180) and choose from the following three options:

- **I have no Conflict of Interest in reviewing this proposal**: Select this option to declare that you do not have a COI with the Proposal and to view the Proposal and being the review process
- **I have a Conflict of Interest in reviewing the proposal**: Select this option to declare that you have a COI with the Proposal and do not wish to view or review the Proposal.
• **I have no Conflict of Interest but do not wish to review the proposal:** Select this option to decline the Proposal in spite of not having a COI with the Proposal.

**Note**

*If you declare a COI for a Proposal or decline to review the Proposal, the Proposal will no longer be available to you. You will need to contact the PM and request to reopen the Proposal review task.*

Select the appropriate option and click the **Save and Continue** button on the COI Certificate page (Figure 180).

**Figure 180. Proposal Review COI Certificate**

8.3.1.2 **View Proposal Information and Review Instructions - Proposal Header**

After the COI Certificate is read and you agree that no COI exists with you reviewing the Proposal, PAMS takes you to the **Proposal Review – Instructions to Reviewers** page (Figure 181). This page displays a Proposal Header followed by instructions from the DOE Office of Science staff. A link to the Proposal can be found in the Proposal header under **Resources.**
The Proposal Header component enables you to view the following details:

**Table 5. Proposal Header**

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal Header</td>
<td>The Proposal header, by itself, displays the Proposal ID, Institution, and the PI on the Proposal. Click the icon on the header to expand the header. The expanded section displays the Proposal Title, Solicitation number and title, and Reviewer Category assigned to you for reviewing the Proposal.</td>
</tr>
</tbody>
</table>
| Resources Header | The Resources header, by default, is always expanded and provides links to view the following documents in PAMS:  

**Supporting tab**  
- **Solicitation**: Displays the Solicitation as a PDF document.  
- **Proposal TOC**: Displays different sections within the Proposal as a table of contents. Click on a topic to view more information on the topic.  
- **Proposal**: Displays the Proposal in pdf format.  
- **Instructions**: Displays the Instructions to Reviewers provided by DOE Office of Science staff.  

**Additional tab**  
- Conflict of Interest: Allows you to declare a COI at any time while reviewing the proposal  
- Points of Contact: Displays a list of all points of contact for reviewers from DOE Office of Science.  
- Each link opens in a separate window on your browser. |
8.3.2 How Do I Perform a Mail In Review?

Both Mail In Review and Commercialization Review tasks will be created as Mail In Review tasks in PAMS. Commercialization Reviews are applicable to SBIR Proposals only.

1. Click the Mail In Review link on the left navigation menu (Figure 182) to view all the Mail In Review tasks.
2. Find the Mail In Review task you want to work on. If necessary, you can click the Search link at the top of the page to perform a search.
3. Click the Actions and Start Review links in the Options column to go to the Proposal Review - Conflict of Interest Certificate page (Figure 180).

Figure 182. Mail In Reviews List – Action Links

4. On the Proposal Review - Conflict of Interest Certificate page, scan the Solicitation and Proposal details, along with the abstract, to determine if you have a COI with the Proposal, Institution, or any of the applicants.
5. Read the COI certificate and then select the appropriate option (see Section 8.3.1.1).
6. If you selected I have no Conflict of Interest in reviewing the Proposal, click the Save and Continue button and proceed as follows:
   a. On the Proposal Review - Instructions to Reviewers page (Figure 181), read the instructions and click the Continue button to go to the Update Review page (Figure 183).
   b. You can update the review form and click the Save and Submit button to preview the comments entered.
   c. You can choose to email a copy of the review to your primary email address by checking the Email Myself a Copy box (Figure 184).
d. Submit the review to DOE by clicking the **Confirm** button (Figure 184). At that point, the task is removed from your queue.

e. PAMS will send an email to the reviewer acknowledging submission of the review.

Figure 183. Update Review: Save and Submit
Once a review has been submitted to DOE, the task is closed. You no longer have access to the review or Proposal in PAMS. To request re-opening the review, contact the appropriate program office of the DOE Office of Science.

7. If you selected I have a Conflict of Interest in reviewing the Proposal, enter comments to be shared in an email with the program manager. Then click the Save and Continue button. The task is removed from your Pending Tasks queue.

8. If you selected I have no Conflict of Interest but do not wish to review the Proposal, enter comments to be shared in an email with the program manager. Then click the Save and Continue button. The task is removed from your Pending Tasks queue.

8.3.3 How Do I Perform a Panel Review?

If you are a panelist, you are a reviewer with one of the following reviewer categories for each Proposal that you are able to submit review:

- Primary: You are a primary reviewer for the Proposal.
- Secondary: You are a secondary reviewer for the Proposal.
• Tertiary: You are the tertiary reviewer for the Proposal.
• Reviewer: Categories have not been configured for this panel and everyone is a Reviewer.
• Additional: The Proposal is not assigned to you. It is an Other Proposal in the panel, and you are able to view the Proposal but not provide a written review of it.

1. Click the Panels link in the left navigation menu to go to the Panel Reviews - List page (Figure 185). Here, you can view all the Panel Review tasks.

   **Figure 185. Panel Reviews List – Action Link**

2. Find the Panel Review task you want to work on. If necessary, you can click the Search link at the top of the page to perform a search. Click the Start Review link in the Options column to go to the Panel Review page (Figure 186).

3. On the Panel Review page, you can view the list of Proposals to which you have access. With Panel Reviews, a single task is created for all Proposals within the panel.

4. Proposals in the panel can be viewed in one of these three grids:
   • Proposal Assignments Waiting to be Accepted.
   • Proposal Assignments Accepted.
   • Other Proposals.
8.3.3.1 Proposal Assignments Waiting To Be Accepted

This is the second grid on the Panel Review page (Figure 186). This grid (Figure 187) displays the list of Proposals you can submit reviews for. The Category column displays whether the Proposal is assigned or unassigned (other) Proposal. The Category for unassigned Proposals is Additional.

1. Select a Proposal to review.

2. In the Options column, click the Actions link and then the Accept/Reject Assignment link. This will take you to the Proposal Review - Conflict of Interest Certificate page (Figure 180).
3. On the Proposal Review - Conflict of Interest Certificate page, view the Solicitation and Proposal details section to determine if you have a COI with the Proposal, Institution, or any of the applicants.

4. Read the COI certificate and then select the appropriate option (see Section 8.3.1.1). If you selected I have no Conflict of Interest in reviewing the Proposal, click the Save and Continue button and proceed as follows:
   a. On the Proposal Review - Instructions to Reviewers page (Figure 181), read the instructions.
   b. Click the Continue button to go to the Update Review page (Figure 183).

5. You can update the review form and click the Save and Submit button to preview the comments entered.

6. You can choose to email a copy of the review to your primary email address by checking the Email Myself a Copy box (Figure 184).

7. Submit the review to DOE by clicking the Confirm button.

8. PAMS will send an email to the reviewer acknowledging submission of the review.

9. You may reopen the review, edit it, and resubmit it, as many times as you like, until the program manager closes the panel.

10. If you selected I have a Conflict of Interest in reviewing the Proposal, enter comments to be shared in an email with the program manager. Then, click the Save and Continue button. The proposal is removed from your panel task.

11. If you selected I have no Conflict of Interest but do not wish to review the Proposal, enter comments to be shared in an email with the program manager. Then, click the Save and Continue button. The proposal is removed from your panel task.

**Note**

Once a review has been submitted to DOE, the Proposal review will be available for reopening and resubmitting on the Panel Review page. The Proposal review will available only until the panel review task is open in your pending tasks queue.

**Note**

If you believe you declared a COI by mistake or would like to re-open the review, you should contact the appropriate program office of the DOE Office of Science. You can still view the Proposal review record on the Panel Review page. However, no actions can be performed on or information viewed for the Proposal review.
If you selected this option by mistake or would like to re-open the review, you should contact the appropriate program office of the DOE Office of Science. You can still view the Proposal review record on the Panel Review page. However, no actions can be performed on or information viewed for the Proposal review.

12. Once you have taken an action on the Proposal, the Proposal is moved into either the Proposal Assignments Accepted grid or to the Other Proposals in the Panel grid, based on the reviewer category.

8.3.3.2 Proposal Assignments Accepted

This grid (Figure 188) displays the list of assigned Proposals that you have signed a COI Certificate for and accepted for review.

1. Select a Proposal review to update.
2. Click the Actions/Views and then click the Update Review link in the Options column to start entering review comments for the Proposal.

Figure 188. Proposal Assignments Accepted: Action/View

3. You can update the review form and click the Save and Submit button to preview the comments entered.
4. You can choose to email a copy of the review to your primary email address by checking the Email Myself a Copy box.
5. Submit the review to DOE by clicking the Confirm button. At this point, the task is removed from your queue.
6. If you wish to declare a COI for a review, then select the review and click the Actions/Views and Declare Conflict of Interest links. The review will still be available in the grid, but you will no longer be able to see the Actions/Views link in the Options column.

8.3.3.3 Other Proposals in the Panel

This grid (Figure 189) displays Additional Proposals you that you have signed a COI Certificate for and accepted for review.

1. Select a Proposal to update the review for. Click the Actions/Views and Update Reviews links in the Options column to start entering review comments for the Proposal.
2. You can update the review form and click the **Save and Submit** button to preview the comments entered.

3. You can choose to email a copy of the review to your primary email address by checking the **Email a Copy to Myself** box (Figure 184).

4. Submit the review to DOE by clicking the **Confirm** button. The task will be removed from your queue at this point.

5. If you wish to declare a COI for a review, then select the review and click the **Actions/Views** link and the **Declare Conflict of Interest** link. The review will still be available in the grid, but you will no longer be able to see the **Actions/Views** link in the **Options** column.

6. In some cases, you will be able to see only the **Views** link under the **Options** column. This is intentional and has been set by the DOE Office of Science to enable you to only view the Proposal.

7. Viewing the Proposal also requires you to comply with and accept the COI statement.

### 8.3.4 How Do I Perform a Proposal Scoring Task?

Proposal Scoring tasks might be created to collect scores for Proposals that are part of a panel. These tasks are usually created in conjunction with panels but only after the panel reviews are complete. However, you could also be assigned a Proposal Scoring task either as a part of a panel or as an independent task.

1. Click on **Proposal Scoring** link available on the left-hand menu to go to the Proposal Scoring - List page (Figure 190) and view the Proposal Scoring tasks.

### Figure 190. Proposal Scoring - List

2. Select the task you want to work on and click the **Action** and **Start** links to begin.

3. On the **Proposal Rating** page (Figure 191), choose the Proposal for which you want to enter a score or a rank.
4. You may enter a numerical score within the allotted range, choose an adjectival score from the available drop-down, or enter comments about the score. One or more of these options are available, depending on the configuration set by DOE Office of Science for the task.

**Figure 191. Proposal Rating**

<table>
<thead>
<tr>
<th>Proposal ID</th>
<th>Title</th>
<th>Institution</th>
<th>PI</th>
<th>Rating</th>
</tr>
</thead>
<tbody>
<tr>
<td>000152654</td>
<td>Plant Study</td>
<td>Kansas State University, Manhattan, KS</td>
<td>Hansen, John</td>
<td>Range (0-10)</td>
</tr>
<tr>
<td>Comments:</td>
<td>Maximum paragraph(s) allowed approximately: 3 (3860 character(s) remaining)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>000453728</td>
<td>Infinite Energy Model Research</td>
<td>Kansas State University, Manhattan, KS</td>
<td>Davidsen, Joe</td>
<td>Range (0-10)</td>
</tr>
<tr>
<td>Comments:</td>
<td>Maximum paragraph(s) allowed approximately: 3 (3860 character(s) remaining)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>000155285</td>
<td>Harnessing Nanotechnology for fusion</td>
<td>University of South Florida, Tampa, FL</td>
<td>Harden, Russell</td>
<td>Range (0-10)</td>
</tr>
<tr>
<td>Comments:</td>
<td>Maximum paragraph(s) allowed approximately: 3 (3860 character(s) remaining)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>0001609719</td>
<td>Geneva: An NLO event generator</td>
<td>Kansas State University, Manhattan, KS</td>
<td>Copeland, David</td>
<td>Range (0-10)</td>
</tr>
<tr>
<td>Comments:</td>
<td>Maximum paragraph(s) allowed approximately: 3 (3860 character(s) remaining)</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

5. When you finish the scoring task, click the **Save and Submit** button to close the task and submit the scores to DOE.

6. PAMS will send an email to the reviewer acknowledging submission of the review.

**Note:** Clicking the **Save** button saves the proposal scoring details on the screen. Proposals displayed in the grid are sorted in descending order, i.e., those with the highest scores are first, and those with no scores are last.
9.0 WHAT TASKS ARE COMPLETED POST AWARD?

Quick Summary

- What tasks can be performed in PAMS post award?
  - Update & submit Progress Reports & Out of Cycle Reports
  - Update & submit Renewable Proposal Products
  - Update & submit Commercialization Surveys

- Progress Reports
  - Report Frequency: Due at the end of each budget period, except the last budget period of each project period.
  - Report Contents: Progress Reports have the following sections and all of them must be completed:
    - Cover Page
    - Accomplishments
    - Products
    - Participants
    - Impact & Foreign Spending
    - Changes – Problems
    - Demographic Information
    - Attachments

- Out of Cycle Reports
  - Report Frequency: Due as determined by DOE Office of Science.
  - Report Contents: DOE Office of Science determines which Progress Report sections must be completed for an award’s Out of Cycle Reports.

This section covers the reporting tasks that award recipients must perform during an award’s lifecycle. The required reports provide justification for the DOE award by demonstrating that the awardee is meeting the terms and goals specified by the award.

9.1 Progress Reports & Out of Cycle Reports

Progress Reports and Out of Cycle Reports are similar, which is why they are being covered together. This section describes each of the reports and how users create, update, and submit them to DOE.

9.1.1 What Is a Progress Report?

For all award budget periods except the final one, awardees must submit a satisfactory Progress Report to DOE Office of Science to receive continuation-of-award funding for the next budget period. SBIR-STTR Phase II awardees have additional Progress Report requirements during the award lifecycle. The Progress Report format is a series of questions. The awardee’s answers to those questions demonstrate to DOE Office of Science whether the awardee has met the defined project goals during the current budget period or not.

The basic Progress Report workflow is as follows:

- DOE Office of Science sets the due date for a non-SBIR-STTR or a SBIR-STTR Phase I Progress Report **90 days before the end date of the current budget period**.
- For SBIR-STTR Phase II, 1-year awards, the following Progress Reports are due:
First Progress Report task is created 3 months from the Project Period Start Date
Second Progress Report task is created 6 months after the first Progress Report task.

- For SBIR-STTR Phase II, 2-year awards, the following Progress Reports are due:
  - Year 1 – First Progress Report task is created 3 months from the Project Period Start Date
  - Year 1 – Standard DOE Progress Report task due 90 days prior to the end of the Budget Period
  - Year 2 – First Progress Report task is created 3 months from the Budget Period Start Date
  - Year 2 – Second Progress Report task is created 6 months after the First Progress Report task.

- For non-SBIR awards, a notification email is sent to the PI 30 days before the due date that a Progress Report is coming due.
- For SBIR awards, a notification email is sent to the SRO/BO/AO 30 days before the due date that a Progress Report is coming due.
- PI and SRO/BO/AO receive a Submit Progress Report task in their Pending Tasks queues. PI and SRO/BO/AO must be registered to both PAMS and their respective awards.
- Awardee completes all sections of the Progress Report and submits it to DOE Office of Science, via PAMS, by the due date. PI or SRO/BO/AO can complete and submit the report or assign the necessary privileges to other users.
- If the report has not been submitted by the due date, PAMS sends a second reminder email (on the configurable due date itself) and a third reminder email (30 days after the second reminder email). If no report is submitted, the PM determines what course of action to take.
- Upon receipt of the report by DOE Office of Science, PAMS sends notification emails to:
  - PI, report submitter (if different from PI), and cc’s SRO/BO/AO for non-SBIR awards.
  - SRO/BO/AO, report submitter (if different from SRO/BO/AO), and cc’s PI for SBIR awards.
- PM reviews the Progress Report and either:
  - Approves the report.
    - For non-SBIR awards, notification emails are sent to PI and report submitter (if different from PI), SRO/BO/AO, all Primary/Secondary PMs, and all Primary/Secondary PSS’s are cc’d on the emails.
    - For SBIR awards, notification emails are sent to SRO/BO/AO and report submitter (if different from SRO/BO/AO), PI, all Primary/Secondary PMs, and all Primary/Secondary SBIR SS’s are cc’d on the emails.
    - PM may require awardee to complete and submit a revised budget. If so, system will create a Complete Revised Budget task for the awardee. Refer to Section 8.2, How Do I Complete a Revised Budget?
  - Declines the report.
    - For non-SBIR awards, notification emails are sent to all Primary/Secondary PMs. All Primary/Secondary PSS’s are cc’d on the emails.
    - For SBIR awards, notification emails are sent to all Primary/Secondary SBIR SS’s. All Primary/Secondary PMs are cc’d on the emails.
  - Requests changes from PI.
    - For non-SBIR awards, notification emails are sent to PI and report submitter (if different from PI). SRO/BO/AO, all Primary/Secondary PMs, and all Primary/Secondary PSS’s are cc’d on the emails.
For SBIR awards, notification emails are sent to SRO/BO/AO and report submitter (if different from SRO/BO/AO). PI, all Primary/Secondary PMs, and all Primary/Secondary SBIR SS’s are cc’d on the emails.

9.1.2 What Is an Out of Cycle Report?

While Progress Reports cover an entire budget period, Out of Cycle Reports cover time periods determined by DOE Office of Science. For example, the determination may be that monthly or quarterly reports are needed.

Out of Cycle Reports are specific to each award and, thus, ad hoc in nature. These reports cannot be configured for past due and expired awards. Awardees receive a Submit Progress Report task in their Pending Tasks queues when an Out of Cycle Report is due.

Awardees receive a “Submit Progress Report” task whether the report due is a standard Progress Report or an Out of Cycle Report. To differentiate between a standard Progress Report and an Out of Cycle Report, look at the report title. Progress Reports will always have “Progress Report” in the title. On the other hand, Out of Cycle Reports will have a specific title created by DOE Office of Science and never be titled “Progress Report.”

The basic Out of Cycle Report workflow is as follows:

- If Out of Cycle Reports are needed for an award, DOE Office of Science sets the configurable due dates.
  - For non-SBIR awards, a notification email is sent to the PI on the task available date asking the PI to submit a Progress Report.
  - For SBIR awards, a notification email is sent to the SRO/BO/AO on the task available date asking the SRO/BO/AO to submit a Progress Report. The PI is cc’d on the email.
- PI and SRO/BO/AO receive a Submit Progress Report task in their Pending Tasks queues. PI and SRO/BO/AO must be registered to both PAMS and their respective awards.
- Awardee completes only the report sections configured by DOE Office of Science and submits the completed report to DOE Office of Science, via PAMS, by the due date. PI or SRO/BO/AO can complete and submit the report or assign the necessary privileges to other users.
- Upon receipt of the report by DOE Office of Science, PAMS sends notification emails to:
  - PI, report submitter (if different from PI), and cc’s SRO/BO/AO for non-SBIR awards.
  - SRO/BO/AO, report submitter (if different from SRO/BO/AO), and cc’s PI for SBIR awards.
- PM reviews the Out of Cycle Report and either:
  - Approves the report.
    - For non-SBIR awards, notification emails are sent to PI and report submitter (if different from PI). SRO/BO/AO, all Primary/Secondary PMs, and all Primary/Secondary PSS’s are cc’d on the emails.
    - For SBIR awards, notification emails are sent to SRO/BO/AO and report submitter (if different from SRO/BO/AO). PI, all Primary/Secondary PMs, and all Primary/Secondary SBIR SS’s are cc’d on the emails.
  - Declines the report.
    - For non-SBIR awards, notification emails are sent to all Primary/Secondary PMs. All Primary/Secondary PSS’s are cc’d on the emails.
- For SBIR awards, notification emails are sent to all Primary/Secondary SBIR SS’s. All Primary/Secondary PMs are cc’d on the emails.
  - Requests changes from PI.
  - For non-SBIR awards, notification emails are sent to PI and report submitter (if different from PI). SRO/BO/SAO, all Primary/Secondary PMs, and all Primary/Secondary PSS’s are cc’d on the emails.
  - For SBIR awards, notification emails are sent to SRO/BO/SAO and report submitter (if different from SRO/BO/SAO). PI, all Primary/Secondary PMs, and all Primary/Secondary SBIR SS’s are cc’d on the emails.

9.1.3 How Do I Know When a Progress Report or Out of Cycle Report Is Due?

### A separate, PAMS-generated email is sent for each of the following scenarios:

- **PI is a registered PAMS user and associated to the award.**
- **PI is not a registered PAMS user or is not registered to the award.**
- **PI is a registered PAMS user but not associated to the award.**

The PI receives an email from PAMS requesting that a Progress Report be submitted (Figure 192). The email includes a Registration Code and two links: I already have a PAMS account or I do not have a PAMS account.

The PI selects the link that applies and uses the Registration Code to either register to PAMS or access the award requiring a Progress Report. The PI can also grant privileges to other institution users to access, work on, and submit the Progress Report.

All institution users with privileges to edit and submit Progress Reports receive a task to do so for each budget period of an active award. Awards in their last budget periods do not generate tasks to submit Progress Reports.

**Figure 192. DOE Email: Submit Progress Report (Sample)**
9.1.4 How Do I Update a Progress Report or Out of Cycle Report?

Use the sections and steps below to update and submit a Progress Report or Out of Cycle Report. Since each report uses the same sections of the same form (i.e., a Progress Report addresses all sections; an Out of Cycle Report covers only those sections determined by DOE Office of Science), the information will only be covered once for the purposes of this User Guide.

If this is a first-time Progress Report, all fields, except for the Cover Page, will be blank. If this is not a first-time Progress Report, you could be editing prepopulated information from the last submitted Progress Report, Out of Cycle Report, or Renewal Proposal Products.

1. On the Guide Me page (Figure 193), click the Tasks tab to go to the Pending Tasks – List page (Figure 194).

   OR

   From any PAMS page, click the Progress Report link in the left navigation menu to go to the Progress Report – List page (Figure 195).

2. From either List page, find the Progress Report task you want and click the Start Progress Report link. If necessary, click the Search link at right above the grid to find a specific Progress Report task.

   Figure 193. Guide Me Page – Tasks Tab
3. The Progress Report – Status page (Figure 196) displays the status of each section of the report in both the left navigation menu and in the Progress Report Status section of the page itself.

A green check mark (✓) means a section is complete, while a green check mark with a red slash through it (✗) means a section is not complete. At any time prior to report submittal, a section can be edited by clicking the Update link in the Options column (Figure 196).
4. In the *Options* column, click the **Update** link next to the section you wish to work on.

### 9.1.4.1 Cover Page

*Note*

The Cover Page of the Progress Report (Figure 197) is always “Status: Complete” because its fields are prepopulated. Institutions can use the Recipient Award Identification Number field on this page to track the Progress Report internally. Click the Save and Continue button when finished to go to the next Progress Report section.
9.1.4.2 Accomplishments Section

1. On the Progress Report – Accomplishments page (Figure 198), you must enter all mandatory information.

2. For some questions, you might have the option to select Nothing to Report or No Change.

3. Under the Choose Action dropdown:
   a. Select the Save option and click the Go button to retain the work you have completed so far and stay on this page.
   b. Alternatively, select the Save and Continue option and click the Go button to save your work and navigate to the next page.
   c. If you are finished, select the Mark as Complete option and click the Go button to change the status of this section to Complete.
Figure 198. Progress Report – Accomplishments
### Notable Page Elements

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>What are the major goals of the project? Field</strong></td>
<td>Fill in with required information. May be prepopulated from previous submission.</td>
</tr>
<tr>
<td><strong>What was accomplished under these goals? Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>What opportunities for training and professional development has the project provided? Field</strong></td>
<td>Fill in with required information. Select the <em>Nothing to Report</em> checkbox to save the section without entering data in the text box.</td>
</tr>
<tr>
<td><strong>How have the results been disseminated to communities of interest? Field</strong></td>
<td>Fill in with required information. Select the <em>Nothing to Report</em> checkbox to save the section without entering data in the text box.</td>
</tr>
<tr>
<td><strong>What do you plan to do during the next reporting period to accomplish the goals? Field</strong></td>
<td>Fill in with required information. Select the <em>No Change</em> checkbox to save the section without entering data in the text box.</td>
</tr>
<tr>
<td><strong>Attach file Button</strong></td>
<td>Select a document to upload. A maximum of one document may be attached. The allowable formats are doc, docx, and pdf.</td>
</tr>
<tr>
<td><strong>Go to Previous Section Button</strong></td>
<td>Click to go to the Cover Page. Any data entered is not saved.</td>
</tr>
<tr>
<td><strong>Choose Action Dropdown and Go Button</strong></td>
<td>• Click <em>Save</em> and click the <em>Go</em> button to save the data entered and remain on this page.</td>
</tr>
<tr>
<td></td>
<td>• Click <em>Save and Continue</em> and click the <em>Go</em> button to save the data entered and go to the next section of the report.</td>
</tr>
<tr>
<td></td>
<td>• Click <em>Mark as Complete</em> and click the <em>Go</em> button to save the data, mark this section’s status as <em>Complete</em>, and go to the next section of the report.</td>
</tr>
</tbody>
</table>

#### 9.1.4.3 Products Section

This page lists all products created during the course of your project. Product categories are *Publications, Intellectual Property, Technologies or Techniques*, and *Other Products*.

1. Under each product section (Figure 199), any entries from the prior Progress Report can be edited or deleted.
   a. To edit/delete a product, click *Actions/Views* link in the *Options* column to reveal the context menu (Figure 200).
   b. Click the *Update* or *Delete* link, as required.
Figure 199. Progress Report – Products Page

Figure 200. Products Section – Actions/Views Dropdown
2. To add a new product under a section, click the appropriate Add product link above the section’s grid.
   a. Click the Add New Publication link to go to the Progress Report – Add New Publication page (Figure 201).

   **Figure 201. Progress Report – Add New Publication Page**

   ![Progress Report – Add New Publication Page]

   i. In the Publication section’s Type field, click the Select One dropdown arrow and choose the kind of publication you are adding.

   ii. Click the Populate Form button.

   iii. Based on your choice of Publication Type from the dropdown, fill in the mandatory fields on the respective page that appears. Figure 202 through Figure 208 show all Publication Type pages.

   iv. When finished, click the Save and Continue button to go to the Progress Report – Products page. A Success message informs you that the publication was added successfully.
Figure 202. Add New Publication – Journal Article

![Journal Article – Mandatory Fields](image_url)

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Article Title Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Author Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Journal Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Journal Peer Reviewed?</td>
<td>Select the Yes or No radio button</td>
</tr>
<tr>
<td>Publication Status</td>
<td>Select a status from the dropdown.</td>
</tr>
<tr>
<td>Acknowledgement of DOE Support?</td>
<td>Select the Yes or No radio button</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the article was successfully added.</td>
</tr>
</tbody>
</table>
Book – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Book Title</strong> Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Author(s)</strong> Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Publication Status</strong> Field</td>
<td>Select a status from the dropdown. If the status is Other, please specify in the field provided.</td>
</tr>
<tr>
<td><strong>Book Publisher</strong> Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Book Peer Reviewed?</strong></td>
<td>Select the Yes or No radio button</td>
</tr>
<tr>
<td><strong>Acknowledgement of DOE Support?</strong></td>
<td>Select the Yes or No radio button</td>
</tr>
<tr>
<td><strong>Save and Continue Button</strong></td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the book was successfully added.</td>
</tr>
</tbody>
</table>
Book Chapter – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chapter Title Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Author(s) Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Book Title Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Publication Status Field</td>
<td>Select a status from the dropdown.</td>
</tr>
<tr>
<td>Book Publisher Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Chapter Peer Reviewed?</td>
<td>Select the Yes or No radio button</td>
</tr>
<tr>
<td>Acknowledgement of DOE Support?</td>
<td>Select the Yes or No radio button</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the book chapter was successfully added.</td>
</tr>
</tbody>
</table>

Figure 205. Add New Publication – Thesis/Dissertation
### Thesis/Dissertation – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Title Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Author(s) Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Institution Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Acknowledgement of DOE Support?</strong></td>
<td>Select the Yes or No radio button</td>
</tr>
</tbody>
</table>

**Save and Continue Button**
Click this button to return to the Progress Reports – Products page where a Success message informs you that the thesis/dissertation was successfully added.

### Figure 206. Add New Publication – Conference Paper/Presentation

#### Conference Paper/Presentation – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Paper Title Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Author(s) Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Book Title Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Conference Name Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Conference Location Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Conference Date Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Publication Status Field</strong></td>
<td>Select a status from the dropdown. If the status is Other, please specify in the field provided.</td>
</tr>
<tr>
<td><strong>Acknowledgement of DOE Support?</strong></td>
<td>Select the Yes or No radio button</td>
</tr>
</tbody>
</table>

**Save and Continue Button**
Click this button to return to the Progress Reports – Products page where a Success message informs you that the conference paper/presentation was successfully added.
Figure 207. Add New Publication – Website

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>URL Field</td>
<td>Fill in the Web address.</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the Website was successfully added.</td>
</tr>
</tbody>
</table>

Figure 208. Add New Publication – Other Publication
Other Publication – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Title Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Author(s) Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Description Field</td>
<td>Explain the nature of this publication.</td>
</tr>
<tr>
<td>Publication Status Field</td>
<td>Select a status from the dropdown. If the status is Other, please specify in the field provided.</td>
</tr>
<tr>
<td>Acknowledgement of DOE Support?</td>
<td>Select the Yes or No radio button.</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the publication was successfully added.</td>
</tr>
</tbody>
</table>

b. Click the Add New Intellectual Property link to go to the Progress Report – Add New Intellectual Property page (Figure 209).

i. In the Intellectual Property section’s Type field, click the Select One dropdown arrow and choose the kind of intellectual property you are adding.

ii. Click the Populate Form button.

iii. Based on your choice of Intellectual Property Type from the dropdown, fill in the mandatory fields on the respective page that appears. (Refer to Figure 210 - Figure 212 for Intellectual Property Type pages.)

iv. When finished, click the Save and Continue button to go to the Progress Report – Products page. A Success message informs you that the intellectual property was added successfully.

Figure 209. Progress Report - Add New Intellectual Property Page
Figure 210. Add New Intellectual Property – Patent

![Add New Intellectual Property - Patent]

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Patent Title Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Patent Abstract Field</strong></td>
<td>Provide a description of the patent.</td>
</tr>
<tr>
<td><strong>Patent Number Field</strong></td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td><strong>Country Field</strong></td>
<td>Click the Select One dropdown and choose the country where the patent resides.</td>
</tr>
<tr>
<td><strong>Application Status Field</strong></td>
<td>Click the dropdown and choose the current status of the patent: Submitted, Pending, or Granted.</td>
</tr>
<tr>
<td><strong>Save and Continue Button</strong></td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the patent was successfully added.</td>
</tr>
</tbody>
</table>

Figure 211. Add New Intellectual Property – Invention

![Add New Intellectual Property - Invention]
Invention – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Invention Title Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Inventors Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Invention Description Field</td>
<td>Explain the nature of the invention.</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the patent was successfully added.</td>
</tr>
</tbody>
</table>

Figure 212. Add New Intellectual Property – License

License – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>License Title Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>License Status Field</td>
<td>Click the dropdown and choose the current status of the license: None, Pending, or Licensed.</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the license was successfully added.</td>
</tr>
</tbody>
</table>

c.  Click the Add New Technology or Technique link to go to the Progress Report – Add New Technology or Technique page (Figure 213).

i.  Describe the new technology or technique in the Technology or Technique section’s Description field.

ii.  When finished, click the Save and Continue button to go to the Progress Report – Products page. A Success message informs you that the technology or technique was added successfully.
Add New Technology or Technique – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description Field</td>
<td>Explain the nature of the technology or technique.</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the technology or technique was successfully added.</td>
</tr>
</tbody>
</table>

d. Click the Add Other Products link to go to the Progress Report – Add Other Product page (Figure 214).
   i. In the Other Product section’s Product Type field, click the dropdown arrow and choose the kind of product you are adding.
   ii. If you select Other for the Product Type, provide a specific, brief identification of the product in the field provided.
   iii. Fill in the mandatory Description field.
   iv. When finished, click the Save and Continue button to go to the Progress Report – Products page. A Success message informs you that the product was added successfully.

Figure 214. Progress Report - Add Other Product Page
Add Other Product – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Product Type Field</td>
<td>Click the dropdown and choose a type for this product. If you select Other, provide a specific, brief identification of the product in the field provided.</td>
</tr>
<tr>
<td>Description Field</td>
<td>Explain the nature of the product.</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click this button to return to the Progress Reports – Products page where a Success message informs you that the product was successfully added.</td>
</tr>
</tbody>
</table>

9.1.4.4 Participants and Other Collaborating Organizations Section

On the Progress Report – Participants page (Figure 215), users can see a list of persons and other entities that have been involved in the project. User can add participants, edit existing participants from prior Progress Report submittals, or delete them from the list.

In addition, for the first budget period, the PI on the award, along with data from the Key Personnel section of the proposal’s approved budget, are prepopulated in the Participants section of Figure 215.

A participant is grouped as one of the following types:

- Participant
- Partner
- Other Collaborator.
9.1.4.4.1 Add New Participant

This action enables you to search for and add project participants affiliated with your institution to the report. Before you can add a new participant, however, you must Search for the person in the PAMS database.

To add a new participant:

1. On the Progress Report – Participants page (Figure 215), click the Add New Participant link.
2. On the Progress Report – Add New Participant – List page (Figure 217), enter data in one or more parameter fields to search for the new participant in the PAMS database.
3. Click the Search button to go to the Add New Participant Search Results page (Figure 217).
4. If the search returns the person you want, click the **Add Participant** link in the **Options** column. If you cannot find the person you want, click the **Add New Participant** link above the grid. Whichever link you click, you are taken to the **Progress Report – Add New Participant** page (Figure 218).

**Figure 217. Add New Participant Search Results Page**

If the participant you are adding was found in the PAMS database, the Name fields on the **Progress Report – Add New Participant** page (Figure 218) will be prepopulated. If the participant you are adding is new to PAMS, those same Name fields will be blank.

5. Fill in the mandatory fields. When finished, click the **Choose Action** dropdown, select an option, and click the **Go** button. A **Success** message informs you that the participant was successfully added.
## Add New Participant – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>First Name</strong> Field</td>
<td>Fill in with required information. (This field is prepopulated if the new participant was found in the PAMS database.)</td>
</tr>
<tr>
<td><strong>Last Name</strong> Field</td>
<td>Fill in with required information. (This field is prepopulated if the new participant was found in the PAMS database.)</td>
</tr>
<tr>
<td><strong>Project Role</strong> Field</td>
<td>Click the Select Project Role dropdown and make a selection. If you select Other, provide a specific, brief identification of the project role in the field provided.</td>
</tr>
<tr>
<td><strong>Contribution to the Project</strong> Field</td>
<td>Explain how the participant has contributed to the project.</td>
</tr>
<tr>
<td><strong>International Collaboration?</strong></td>
<td>Select the Yes or No radio button.</td>
</tr>
<tr>
<td>Element</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Add New Country Link</td>
<td>When this link is clicked, a dropdown list of countries appears under the Country of International Collaborator column. Select one.</td>
</tr>
<tr>
<td>International Travel?</td>
<td>Select the Yes or No radio button.</td>
</tr>
<tr>
<td>Add New Country Link</td>
<td>When this link is clicked, a dropdown list of countries appears under the Country of Travel column. Select one.</td>
</tr>
<tr>
<td>Choose Action Dropdown and Go Button</td>
<td>• Click <strong>Save</strong> and click the <strong>Go</strong> button to save the data entered and remain on this page.</td>
</tr>
<tr>
<td></td>
<td>• Click <strong>Save and Continue</strong> and click the <strong>Go</strong> button to save the data entered and go to the next section of the report.</td>
</tr>
<tr>
<td></td>
<td>• Click <strong>Mark as Complete</strong> and click the <strong>Go</strong> button to save the data, mark this section’s status as <strong>Complete</strong>, and go to the next section of the report.</td>
</tr>
</tbody>
</table>

9.1.4.4.2 Update Participant

To update a participant:

1. On the Progress Report – Participants page (Figure 215), find the participant, partner, or other collaborator you want to update and click the Actions/Views link in the Options column.
2. From the context menu that appears, click the **Update** link.
3. On the Progress Report – Update Participant page (Figure 219), fill in the mandatory fields.
4. When finished, click the **Choose Action** dropdown, select an option, and click the **Go** button. A **Success** message informs you that the participant was successfully updated.
## Update Participant – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>First Name Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Last Name Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Project Role Field</td>
<td>Click the Select Project Role dropdown and make a selection. If you select Other, provide a specific, brief identification of the project role in the field provided.</td>
</tr>
<tr>
<td>Contribution to the Project Field</td>
<td>Explain how the participant has contributed to the project.</td>
</tr>
<tr>
<td>International Collaboration?</td>
<td>Select the Yes or No radio button.</td>
</tr>
<tr>
<td>Add New Country Link</td>
<td>When this link is clicked, a dropdown list of countries appears under the Country of International Collaborator column. Select one.</td>
</tr>
<tr>
<td>International Travel?</td>
<td>Select the Yes or No radio button.</td>
</tr>
<tr>
<td>Element</td>
<td>Description</td>
</tr>
<tr>
<td>-------------------------------------</td>
<td>---------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Add New Country Link</td>
<td>When this link is clicked, a dropdown list of countries appears under the <em>Country of Travel</em> column. Select one.</td>
</tr>
<tr>
<td>Choose Action Dropdown and Go Button</td>
<td>• Click <em>Save</em> and click the <em>Go</em> button to save the data entered and remain on this page.</td>
</tr>
<tr>
<td></td>
<td>• Click <em>Save and Continue</em> and click the <em>Go</em> button to save the data entered and go to the next section of the report.</td>
</tr>
<tr>
<td></td>
<td>• Click <em>Mark as Complete</em> and click the <em>Go</em> button to save the data, mark this section’s status as <em>Complete</em>, and go to the next section of the report.</td>
</tr>
</tbody>
</table>

9.1.4.4.3  *Delete Participant*

To delete a participant:

1. On the *Progress Report – Participants* page (Figure 215), find the participant you want to delete and click the *Actions/Views* link in the *Options* column.
2. From the context menu that appears, click the *Delete* link.
3. A *Confirmation* box appears (Figure 220). Click the *Confirm* button to remove the participant. A *Success* message confirms participant deletion.

**OR**

Click the *Cancel* button to leave the participant as is.

![Figure 220. Delete Participant Confirmation Box](image)

9.1.4.4.4  *Add New Partner*

This action enables you to add a new partner to the project. To add a new partner:

1. On the *Progress Report – Participants* page (Figure 215), click the *Add New Partner* link.
2. On the *Progress Report – Add New Partner* page (Figure 221), fill in the mandatory fields.
3. When finished, click the *Save and Continue* button. A *Success* message informs you that the new partner was successfully added.
Add New Partner – Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Partner Organization Name Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>Country Field</td>
<td>Click the Select One dropdown and choose the country where the partner resides.</td>
</tr>
<tr>
<td>City Field</td>
<td>Fill in with required information.</td>
</tr>
<tr>
<td>State Field</td>
<td>Click the Select One dropdown and choose the state where the partner resides.</td>
</tr>
<tr>
<td>Partner Contribution Checkboxes</td>
<td>Select the appropriate checkboxes.</td>
</tr>
<tr>
<td>Description of the Contribution Field</td>
<td>Explain the nature of the partner’s contribution to the project.</td>
</tr>
<tr>
<td>Save and Continue Button</td>
<td>Click Save and Continue button when finished. A Success message informs you that the new partner was successfully added.</td>
</tr>
</tbody>
</table>

9.1.4.4.5 Update Partner

To update a partner:

1. On the Progress Report – Participants page (Figure 215), find the partner you want to update and click the Actions/Views link in the Options column.
2. From the context menu that appears, click the Update link.
3. On the Progress Report – Update Partner page (Figure 222), update the fields, as required.
4. When finished, click the Save and Continue button. A Success message informs you that the partner was successfully updated.
9.1.4.4.6  Delete Partner

To delete a partner:

1. On the Progress Report – Participants page (Figure 215), find the partner you want to delete and click the Actions/Views link in the Options column.
2. From the context menu that appears, click the Delete link.
3. A Confirmation box appears (Figure 223). Click the Confirm button to remove the partner. A Success message confirms partner deletion.

   OR

   Click the Cancel button to leave the partner as part of the project.

9.1.4.4.7  Add Other Collaborator

This action enables you to add a new, other collaborator to the project. To add a new collaborator:

1. On the Progress Report – Participants page (Figure 215), click the Add Other Collaborator link.
2. On the Progress Report – Add Other Collaborator page (Figure 224), fill in the mandatory Description of the Contribution field.
3. When finished, click the Save and Continue button. A Success message informs you that the other collaborator was successfully added.
9.1.4.4.8  Update Other Collaborator

To update other collaborator:

1. On the Progress Report – Participants page (Figure 215), find the other collaborator you want to update and click the Actions/Views link in the Options column.
2. From the context menu that appears, click the Update link.
3. On the Progress Report – Update Other Collaborator page (Figure 225), update the Description field, as required.
4. When finished, click the Save and Continue button. A Success message informs you that the other collaborator was successfully updated.

9.1.4.4.9  Delete Other Collaborator

To delete other collaborator:

1. On the Progress Report – Participants page (Figure 215), find the other collaborator you want to delete and click the Actions/Views link in the Options column.
2. From the context menu that appears, click the Delete link.
3. A Confirmation box appears (Figure 226). Click the Confirm button to remove the other collaborator. A Success message confirms other collaborator deletion.
OR

Click the **Cancel** button to leave the other collaborator as part of the project.

![Delete Other Collaborator Confirmation Box](image)

### 9.1.4.5 Impact Section

On the *Progress Report – Impact* page (Figure 227), users record how the project has affected other disciplines and areas for the reporting period. The *Impact* section comprises seven subsections:

- Development of the principal disciplines of the project?
- Other disciplines?
- Development of human resources?
- Physical, institutional, and information resources that form infrastructure?
- Technology transfer?
- Society beyond science and technology?
- Foreign Spending.

No mandatory fields exist for this Progress Report section. Fields left blank will be recorded as *Nothing to Report*.

The *Foreign Spending* section (field 7 of the *Progress Report – Impact* page) describes how much of an award’s budget was spent in foreign countries during the reporting period. To report new foreign spending:

1. Click the **Add New Foreign Spending** link, just above field 7 at the bottom of the *Progress Report – Impact* page (Figure 227).
2. Once the link is clicked, a Select One dropdown appears in the *Country* column and a $ field appears in the *Amount* column. Each time you click the **Add New Foreign Spending** link, a new set of fields appears.
3. Click the Select One dropdown arrow to choose the foreign country about which you are reporting.
4. In the $ field, fill in the amount that was spent in that country.
5. Click the red X in the *Options* column to remove the country and dollar amount entered.
6. When finished, click the **Choose Action** dropdown:
   - Click **Save** and click the Go button to save the data entered and remain on this page.
   - Click **Save and Continue** and click the Go button to save the data entered and go to the next section of the report.
   - Click **Mark as Complete** and click the Go button to save the data, mark this section’s status as Complete, and go to the next section of the report.
   - A Success message informs you that *Impact* was successfully saved.
9.1.4.6 Changes-Problems Section

On the Progress Report – Changes-Problems page (Figure 228), users can record any problems with, or changes to, the project during the reporting period. The Changes-Problems section comprises six subsections:

- Changes in approach and reasons for change.
- Actual or anticipated problems or delays and actions or plans to resolve them.
- Changes that have a significant impact on expenditures.
- Significant changes in use or care of human subjects, vertebrate animals, and/or biohazards. This question is required if the ‘Are Human Subjects Involved?’ question is Yes for the last proposal submitted for the award (New or Renewal). If the answer to the question is No, then this question is optional.
- Change of primary performance site location from that originally proposed.
- Carryover Amount: This is the only mandatory field. Fields left blank will be recorded as Nothing to Report.

**Figure 228. Progress Report – Changes-Problems Page**

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Carryover Amount $ Field</td>
<td>In this field, you must enter the total funding amount that is being carried over to the next budget period.</td>
</tr>
</tbody>
</table>
| Choose Action Dropdown and Go Button | • Click Save and click the Go button to save the data entered and remain on this page.  
  • Click Save and Continue and click the Go button to save the data entered and go to the next section of the report.  
  • Click Mark as Complete and click the Go button to save the data, mark this section’s status as Complete, and go to the next section of the report. |

**9.1.4.7 Demographic Information for Significant Contributors Section**

The Progress Report – Demographic Information for Significant Contributors page (Figure 229) displays the users that were entered on the Progress Report – Participants page (Figure 215). To complete this page, email addresses must be provided for all contributors.

1. For the contributor you want to update, click the Actions/Views link and the Update link in the Options column.
2. On the Progress Report – Update Demographic Information for Significant Contributors page (Figure 230), enter the contributor’s email address. The email address cannot be updated if the contributor is already registered in PAMS.

3. When the email address has been entered, click the Save and Continue button to return to the Progress Report – Demographic Information for Significant Contributors page. A Success message informs you that the email information was successfully saved.

4. Click the Mark as Complete button to change the status of this section to Complete.

9.1.4.8 Attachments

On the Progress Report – Attachments page (Figure 231), you can upload and attach a file to the report. A maximum of three files may be attached. Please note that you may only attach documents if the Reporting Requirements Checklist attached to your award document requires the use of attachment.
Any attachments that are not required will be discarded. Allowable document formats are doc, docx, xls, xlsx, and pdf.

**Figure 231. Progress Report – Attachments Page**

To upload an attachment:

1. Click the **Attach File** button, and the **Special Reporting Requirements** section expands (Figure 232).

   **Figure 232. Progress Report – Expanded Attachments Page**

2. Click the **Browse** button to select a file from your computer or network. To complete the process, refer to Section 2.8, How to **Attach a File in PAMS**.

3. When you are finished attaching the file, click the **Mark as Complete** button to change the status of this section to **Complete**.

**9.1.5 How Do I Review and Submit a Progress Report or Out of Cycle Report?**

When all the report’s sections have a status of **Complete**, the report is ready to review and submit.

1. From the left navigation menu (Figure 233), click the **Review** link, to go to the **Progress Report – Review** page (Figure 234).
2. Click the Views link in the Options column and the View link in the context menu to bring up a read-only copy of the Progress Report section of your choice. Alternatively, you can click the Table of Contents dropdown above the grid, highlight the section you want, and click the Go button.

3. If editing of a section is required, click the section link in the left navigation menu (Figure 233).

4. When your review is complete, click the Continue button to go to the Progress Report - Submit page (Figure 235).
5. You can still edit a report section by clicking its Update link.

6. Ensure that each section has a status of Complete.

7. When finished, click the Submit button. A Success message informs you that the Progress Report was submitted successfully.

9.1.6 How Do I Resubmit a Progress Report or Out of Cycle Report?

After the Progress Report or Out of Cycle Report has been submitted to DOE Office of Science, it is reviewed by the PM. If the PM requests changes to the reviewed default/additional Progress Report, the PI (for non-SBIR awards) or SRO/BO/AO (for SBIR awards):

- Receives an email requesting changes (Figure 236).
- Finds a Start Progress Report task in the Pending Tasks queue.
Figure 236. DOE Email: Request Progress Report Revision (Sample)

| To:       | SRC/BO, Submitter (if different from SRC/BO) |
| CC:       | PI, All Primary and Secondary SBIR SS        |
| From:     | PAMS                                          |
| Subject:  | **DOE Request for a Revision to the Progress Report for <Award Program Office Acronym> Award <Award Number>** |
| Message:  | Dear <SRO First Name Last Name>:              |
|           | The Small Business Innovation Research/Small Business Technology Transfer Programs (SBIR/STTR) within the Department of Energy Office of Science requests a revised Progress Report for the award listed below. To edit and submit the Progress Report, please use the DOE Office of Science <Portfolio Analysis and Management System (PAMS)>.
| Comments: | Provided by the Program Manager: <Comments> |

If you have trouble using PAMS, consult the “External User Guide” on the PAMS website or contact the PAMS Helpdesk at (855) 818-1846 (toll-free number) or (301) 903-9610 or sc.pams-helpdesk@science.doe.gov.

This message was sent on behalf of the program manager, <PM Requesting the Change Firstname Lastname>, who can be reached at <PM Requesting the Change Email Address>. The SBIR/STTR Programs Office can also be reached at 301-903-5707, sbir-sttr@science.doe.gov. Replies to this message will not reach the intended recipient.

Use the steps that follow to makes changes to and resubmit a default/additional Progress Report.

1. On the Guide Me page (Figure 193), click the Tasks tab to go to the Pending Tasks – List page (Figure 194).

   **OR**

   From any PAMS page, click the Progress Report link in the left navigation menu to go to the Progress Report – List page (Figure 195).

2. From either List page, find the Progress Report task you want and click the Start Progress Report link. If necessary, click the Search link at right above the grid to find a specific Progress Report task.

3. On the Progress Report – Status page (Figure 237), find the section of the report that requires changes and, under Options, click the Update link for that section.
4. Make the changes required to the section and click (or select from Choose Action dropdown) **Mark as Complete**.

5. PAMS then takes you through the remaining sections of the Progress Report. Make any further changes required. Click (or select from dropdown) **Mark as Complete** for each section.

6. When the final section is marked as complete, you are taken to the Progress Report – Review page (Figure 238). If necessary, click the **Views** link under **Options** for any section requiring further review.

![Progress Report – Status Page](image1)

**Figure 237. Progress Report – Status Page**

![Progress Report – Status Page](image2)

7. When finished, click the **Continue** button.

8. On the Progress Report – Submit page (Figure 239), editing can still be done by clicking a section's **Update** link.

![Progress Report – Review Page](image3)

**Figure 238. Progress Report – Review Page**
9. Ensure that each section has a status of "Complete." Click the **Submit** button. A **Success** message informs you that the Progress Report was submitted successfully.

### 9.2 Renewal Proposal Products

#### Quick Summary

- **What tasks can be performed in PAMS post award?**
  - Update & submit Progress Reports and Out of Cycle Reports
  - Update & submit **Renewal Proposal Products**
  - Update & submit Commercialization Surveys
- **Renewal Proposal Products submission applies only to non-SBIR and non-National Lab awards.**
- **Renewal Proposal Products Contents:**
  - Cover Page
  - Products Section
- **Renewal Proposal Products Frequency:**
  - Due at the end of the *last budget period of each project period* when the renewal proposal itself is submitted.

#### 9.2.1 What Is a Renewal Proposal Products Submission?

Renewal Proposal Products are all products created during a project period and could include inventions, patents, databases, books, articles, and so on. A **Submit Renewal Proposal Products** task is created when a Renewal Proposal is submitted and assigned to a PM in PAMS. The Renewal Proposal Products submission is an addendum to the renewal proposal itself.

On the Renewal Proposal Products submission, the **Products** section is prepopulated from the last Progress Report, Out of Cycle Report, or Renewal Proposal Products that was submitted for the award. Renewal Proposal Products are not submitted for DOE Office of Science review; i.e., the submission cannot be returned for revision. These submissions are informational only and once submitted, the task is complete.
For non-SBIR awards, only the PI of the award, by default, is given access to the *Submit Renewal Proposal Products* task. The PI, however, can provide other PAMS users with access privileges. The awardee accesses the task, completes it, and submits the task to DOE for the **last budget period** of every project period.

The basic Renewal Proposal Products workflow is as follows:

- A *Submit Renewal Proposal Products* task is created for the PI from the institution when a renewal proposal is submitted and assigned to a PM in PAMS.
- A notification email is sent to PI when the task is available. PI must be registered to both PAMS and their respective awards.
- For the last **budget** period of every **project** period, the award recipient accesses the task and completes and submits Renewal Proposal Products to DOE.
- Only the PI of the award, by default, can access the task. A default user can provide other users with access privileges to the task, if required.
- A reminder email is sent to the PI 5 days after the task was created, if the submission has not been received by DOE. This email is cc’d to the Primary PM of the award.
- Upon submittal of Renewal Proposal Products, notification emails are sent to the PI, SRO/BO/AO, Primary/Secondary PMs, Primary/Secondary PSS’s of the award.

### 9.2.2 How Do I Know When a Renewal Proposal Products Submission Is Due?

---

A separate, PAMS-generated email is sent for each of the following scenarios:

- **PI is a registered PAMS user and associated to the award.**
- **PI is not a registered PAMS user or is a registered PAMS user but not registered to the award.**

---

The PI receives an email from PAMS requesting that Renewal Proposal Products be submitted for the Renewal Proposal identified in the email. If the PI has a PAMS account and is registered to the award, the email shown in Figure 240 is sent.

If, however, the PI has a PAMS account but is not registered to the award or does not have a PAMS account, the email shown in Figure 241 is sent. This email includes a *Registration Code* and two links: *I already have a PAMS account* or *I do not have a PAMS account*. The PI selects the link that applies and uses the Registration Code to either register to PAMS or access the award requiring Renewal Proposal Products.
Figure 240. DOE Email: Submit Renewal Proposal Products (Sample 1)

<table>
<thead>
<tr>
<th>To:</th>
<th>PI</th>
</tr>
</thead>
<tbody>
<tr>
<td>CC:</td>
<td>PAMS</td>
</tr>
<tr>
<td>From:</td>
<td>DOE &lt;Award Program Office Acronym&gt; Request to Submit Renewal Proposal Products for Proposal &lt;PAMS Proposal Number&gt;</td>
</tr>
<tr>
<td>Message:</td>
<td>Dear &lt;PI First Name Last Name&gt;:</td>
</tr>
</tbody>
</table>

To complete the submission of the <Award Program Office> (<Award Program Office Acronym>) Renewal Proposal listed below, the Principal Investigator must update the award products list. The submitted product list will be sent for merit review along with the Renewal Proposal. The Renewal Proposal is not considered complete until:

- **Task**: Submit Renewal Proposal Products <Link>
- **Renewal Proposal Products Tracking Number**: <Tracking Number>
- **Due Date**: <Task Due Date MM/DD/YYYY HH:MM PM ET>
- **Award Number**: <Award Number>
- **Renewal Proposal Number**: <PAMS Proposal Number>
- **Proposal Submitted On**: <Proposal G.g Submit Date MM/DD/YYYY, HH:MM AM/PM ET>
- **Proposal Submitted By**: <Proposal G.g Submitter Lastname, Firstname>
- **Proposal Principal Investigator**: <Proposal PI Lastname, Firstname>
- **Proposal Institution**: <Proposal Institution Name>, <City>, <StateCode>
- **Proposal Title**: <Proposal Title>

**Our records indicate you already have a PAMS account** You can access the Renewal Proposal Products submission by logging in to PAMS and clicking on the Tasks tab. If you have trouble using PAMS, consult the “External User Guide” on the PAMS website or...
Figure 241. DOE Email: Submit Renewal Proposal Products (Sample 2)

9.2.3 How Do I Update a Renewal Proposal Products Submission?

Use the sections and steps below to update and submit Renewal Proposal Products.

1. On the Guide Me page (Figure 193), click the Tasks tab to go to the Pending Tasks – List page (Figure 242).
   
   OR
   
   From any PAMS page, click the Renewal Proposal Products link in the left navigation menu (Figure 243) to go to the Renewal Proposal Products – List page (Figure 244).

2. From either List page, find the Submit Renewal Proposal Products task you want and click the Start Renewal Products link. If necessary, click the Search link at right above the grid to find a specific Renewal Proposal Products task.
Figure 242. Pending Tasks - List Page

Figure 243. Left Navigation Menu
3. The Renewal Proposal Products – Status page (Figure 245) displays the status of each section of the submission in both the left navigation menu and in the Renewal Proposal Products Status section of the page itself.

![Figure 245. Renewal Proposal Products – Status Page]

A green check mark (✓) means a section is complete, while a green check mark with a red slash through it (✗) means a section is not complete.

4. In the Options column, click the Update link for the section you wish to work on.
9.2.3.1 Cover Page

The Cover Page of Renewal Proposal Products (Figure 231) is always “Status: Complete” because its fields are prepopulated, except for Recipient Award Identification Number. Institution users can use this ID number for internal tracking purposes.

Figure 246. Renewal Proposal Products – Cover Page

9.2.3.2 Products Section

The Products section is prepopulated from the most recent Progress Report, Out of Cycle Report, or Renewal Proposal Products list submitted for the award.

Refer to Section 9.1.4.3, Products Section, for information required to complete this section.

9.2.4 How Do I Review and Submit Renewal Proposal Products?

When Renewal Proposal Products’ two sections have a status of Complete, it is ready for review and submittal.

1. From the left navigation menu (Figure 247), click the Review link, to go to the Renewal Proposal Products – Review page (Figure 248).
2. Click the Views link in the Options column and the View link in the context menu to bring up a read-only copy of the section of your choice. Alternatively, you can click the Table of Contents dropdown above the grid, highlight the section you want, and click the Go button.

3. If editing of a section is required, click the section link in the left navigation menu (Figure 247).

4. When your review is complete, click the Continue button to go to the Renewal Proposal Products – Submit page (Figure 249).
5. You can still edit a report section by clicking its Update link.

6. Ensure that each section has a status of Complete.

7. You can, at any time after opening the RPP task, preview the submission from the Submit page by clicking Preview Renewal Proposal Products PDF. This will open a new window.

   Note: You are encouraged to preview the Renewal Proposal Products PDF prior to submission as it will be appended to your renewal proposal and sent for merit review.

8. When finished, click the Submit button. A Success message informs you that Renewal Proposal Products was submitted successfully.

9.3 Commercialization Surveys

   ● Quick Summary ●

   • What tasks can be performed in PAMS post award?
     o Update & submit Progress Reports and Out of Cycle Reports
     o Update & submit Renewal Proposal Products
     o Update & submit Commercialization Surveys
   • Commercialization Survey submission applies only to SBIR awards.
   • Commercialization Survey Contents:
     o General Information Section
     o Awards Section

9.3.1 What Is a Commercialization Survey?

Submit Commercialization Survey tasks are created for SBIR/STTR institutions. These tasks are made available to Admin SRO/BO/AO users (i.e., SRO/BO/AO users with Manage Users, Manage Institution Profile, and Submit to DOE privileges for the institution), as well as SRO/BO/AO users who have been granted those privileges by the SBIR SS/SBIR PM.
The basic Commercialization Survey workflow is as follows:

- An email is sent to the institution’s SRO/BO/AOs once a Submit Commercialization Survey task is created.
- Awardee completes the survey’s two sections—General Information and Awards—and marks each section as Complete.
- Awardee reviews the completed survey.
- Awardee submits the survey to DOE, and the task is closed.

9.3.2 How Do I Know When a Commercialization Survey Is Due?

A separate, PAMS-generated email is sent for each of the following scenarios:

- SRO/BO/AO is a registered PAMS user and associated to the institution.
- SRO/BO/AO is not a registered PAMS user or is a registered PAMS user but not registered to the institution.
- The SRO/BO/AO who agrees to be the Admin SRO receives Manage Users, Manage Institution Profile, and Submit to DOE privileges for the institution, in addition to access to the Commercialization Survey task.

The SRO/BO/AO receives an email from PAMS requesting that a Commercialization Survey be submitted to DOE. If the SRO/BO/AO has a PAMS account and is registered to the institution, the email shown in Figure 250 is sent.

If, however, the SRO/BO/AO has a PAMS account but is not registered to the institution or does not have a PAMS account, the email shown in Figure 251 is sent. This email includes a Registration Code and two links: I already have a PAMS account or I do not have a PAMS account. The SRO/BO/AO selects the link that applies and uses the Registration Code to either register to PAMS or access the institution’s Commercialization Survey.
### Figure 250. DOE Email: Submit Commercialization Survey (Sample 1)

<table>
<thead>
<tr>
<th>To:</th>
<th>BO</th>
</tr>
</thead>
<tbody>
<tr>
<td>CC:</td>
<td></td>
</tr>
<tr>
<td>From:</td>
<td>PAMS</td>
</tr>
<tr>
<td>Subject:</td>
<td>Reminder – Submit Commercialization Survey to DOE Office of Science in PAMS</td>
</tr>
<tr>
<td>Message:</td>
<td>Dear &lt;SRO First Name Last Name&gt;:</td>
</tr>
</tbody>
</table>

The Small Business Innovation Research/Small Business Technology Transfer Programs (SBIR/STTR) within the Department of Energy Office of Science requests that you access your Submit Commercialization Survey task in PAMS, complete it, and submit it to DOE. To access the submission, please use the DOE Office of Science [Portfolio Analysis and Management System (PAMS)].

**Task:** Submit Commercialization Survey <Link>

**Survey Tracking Number:** <Tracking Number>

**Due Date:** <Task Due Date MM/DD/YYYY, HH:MM AM/PM ET>

**Institution:** <Institution Name>, <City>, <StateCode>

**DUNS:** <DUNS>

You can access the Commercialization Survey by logging in to PAMS and clicking on the Tasks tab. If you have trouble using PAMS, consult the “External User Guide” on the PAMS website or contact the PAMS Helpdesk at (855) 818-1846 (toll-free number) or (301) 903-9610 or sc.pams-helpdesk@science.doe.gov.

This message was sent on behalf of the SBIR/STTR Programs Office, who can be reached at sbir-sttr@science.doe.gov. Replies to this message will not reach the intended recipient.
9.3.3 How Do I Complete and Submit a Commercialization Survey?

Use the sections and steps below to complete a Commercialization Survey.

1. On the Guide Me page (Figure 193), click the Tasks tab to go to the Pending Tasks – List page (Figure 252).

   OR

   From any PAMS page, click the Commercialization Survey link in the left navigation menu (Figure 252) to go to the Commercialization Survey – List page (Figure 253).

2. From either List page, find the Submit Commercialization Survey task you want and click the Start Survey link. If necessary, click the Search link at right above the grid to find a specific Commercialization Survey task to work on.
3. The Commercialization Survey – Status page (Figure 254) displays the status of the General Information and Awards sections in both the left navigation menu and in the Commercialization Survey Status section of the page itself.
A green check mark (✔) means a section is complete, while a green check mark with a red slash through it (❌) means a section is not complete. Both survey sections must be marked as Complete before the survey can be submitted to DOE.

Figure 254. Commercialization Survey – Status Page

4. In the Options column, click the Update link for the section you wish to work on.

9.3.3.1 General Information Section

Clicking the General Information Update link on the Commercialization Survey – Status page (Figure 254) takes you to the Commercialization Page – General Information page (Figure 255). Use the steps below to complete this section of the survey.

Note: The first three fields under Small Business Concern (SBC) Information are prepopulated from the Institution Profile in PAMS.

2. When finished, click the Choose Action dropdown and select either Save, Save and Continue, or Mark as Complete. Click the Go to Previous Page button to return to the Commercialization Survey – Status page and lose any data you entered.
3. When you have made your selection, click the Go button to be taken to the Commercialization Survey - Awards page (Figure 256).
### Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Website</strong></td>
<td>Enter the institution’s Website URL.</td>
</tr>
<tr>
<td><strong>Year Founded</strong></td>
<td>Enter the year (YYYY) the institution was founded.</td>
</tr>
<tr>
<td><strong>Number of Employees</strong></td>
<td>Enter the number of employees at the institution.</td>
</tr>
<tr>
<td><strong>Have any patents or copyrights resulted from ANY SBIR/STTR funding to your SBC?</strong></td>
<td>Select the <strong>Yes</strong> or <strong>No</strong> radio button. If <strong>Yes</strong> applies to either or both, enter the total number of patents or copyrights in the fields provided.</td>
</tr>
<tr>
<td>Element</td>
<td>Description</td>
</tr>
<tr>
<td>------------------------------------------------------------------------</td>
<td>-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Since receiving SBIR/STTR funding has your SBC completed an Initial Public Offering (IPO) that resulted, in part, of technology your SBC developed under the DOE SBIR/STTR Programs?</td>
<td>Select the Yes or No radio button. If Yes applies, enter the IPO year and estimated value.</td>
</tr>
<tr>
<td>Has your SBC been acquired as a result of work conducted under DOE SBIR/STTR funding?</td>
<td>Select the Yes or No radio button. If Yes applies, enter the year the SBC was acquired and the dollar value of the acquisition.</td>
</tr>
<tr>
<td>Has your SBC produced any spin-off companies?</td>
<td>Select the Yes or No radio button. If Yes applies, enter the year the spin-off and its name.</td>
</tr>
<tr>
<td>SBC Total Federal SBIR/STTR Related Sales</td>
<td>Enter appropriate dollar amount.</td>
</tr>
<tr>
<td>SBC Total Federal SBIR/STTR Investment</td>
<td>Enter appropriate dollar amount.</td>
</tr>
</tbody>
</table>
| Choose Action Dropdown and Go Button                                   | • Click Save and click the Go button to save the data entered and remain on this page.  
• Click Save and Continue and click the Go button to save the data entered and go to the next section of the report.  
• Click Mark as Complete and click the Go button to save the data, mark this section’s status as Complete, and go to the Commercialization Survey - Awards page. |

### 9.3.3.2 Awards Section

Clicking the Awards Update link on the Commercialization Survey – Status page (Figure 254) takes you to the Commercialization Page – Awards page (Figure 255), which lists all your awards. Use the steps below to complete this section of the survey.

*The Awards section can only be marked ‘Complete’ if the status of each award is ‘Complete’.*
1. Under the *Options* column, click the **Edit** link to go to the *Commercialization Survey – Edit Award* page (Figure 257).

![Figure 256. Awards Page](image-url)
2. Update the award information, as required.
3. When you are finished, click the **Choose Action** dropdown.
4. Select the **Mark as Complete** option.
5. Click the **Go** button. A **Success** message informs you that the **Edit Award** page was successfully marked as complete.
6. Repeat Steps 1–6 for any other of your awards that do not have a status of **Complete**.
7. Once all the awards are marked as complete, on the **Commercialization Survey – Awards** page (Figure 256), click the **Mark as Complete** button to submit the Commercialization Survey to DOE.
# Mandatory Fields

<table>
<thead>
<tr>
<th>Element</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Award/Project Short Description/Abstract</strong></td>
<td>Project description</td>
</tr>
<tr>
<td><strong>Sales to Private Industry (ISP)</strong></td>
<td>This figure includes all small business sales to non-federal, state, and local government entities, resulting in part or in full from the commercialization of the DOE SBIR/STTR-funded technology.</td>
</tr>
<tr>
<td><strong>Sales to Federal Entity or Prime Contractor (SF)</strong></td>
<td>This figure includes all small business sales of the DOE SBIR/STTR-funded project technology to federal entities, including its prime contractors and national laboratories.</td>
</tr>
<tr>
<td><strong>Sales to Other (SO)</strong></td>
<td>This figure includes all small-business sales of the DOE SBIR/STTR-funded project technology to non-federal entities, such as foreign, state, and/or local governments.</td>
</tr>
<tr>
<td><strong>Licensing Revenue</strong></td>
<td>This figure includes all income earned by your small business for allowing its copyrighted or patented material developed in part or in full due to DOE SBIR/STTR funding to be used by another company or entity.</td>
</tr>
<tr>
<td><strong>Describe how this technology was commercialized and its effect on SBC</strong></td>
<td>Describe the impact on your small business from the successful commercialization of the DOE SBIR/STTR-funded technology.</td>
</tr>
<tr>
<td><strong>Has a product with this technology been launched</strong></td>
<td>Select the <strong>Yes</strong> or <strong>No</strong> radio button.</td>
</tr>
<tr>
<td><strong>SBC Self-Investment</strong></td>
<td>This figure includes funds owned by the small business or one or more small business owners and invested back into the company.</td>
</tr>
<tr>
<td><strong>Investment from Non-SBIR Federal Entity or Prime Contractor (IF)</strong></td>
<td>This figure includes funds provided by a federal program or entity primarily funded by the federal government with or without an interest in your company.</td>
</tr>
<tr>
<td><strong>Angel Investment</strong></td>
<td>This figure includes funding from an individual, group, or network like-minded individuals providing capital to your small business. This support may be in exchange for ownership equity for your small business.</td>
</tr>
<tr>
<td><strong>Venture Capital Investment (VC)</strong></td>
<td>This figure includes funding from an investment group providing capital to your small business, usually in exchange for ownership equity or control in your company.</td>
</tr>
<tr>
<td><strong>Other Investment (OI)</strong></td>
<td>This figure includes funds provided by none of the preceding investors that may or may not have a controlling interest in your small business, e.g., gifts or loans from family and friends.</td>
</tr>
<tr>
<td>Element</td>
<td>Description</td>
</tr>
<tr>
<td>---------</td>
<td>-------------</td>
</tr>
</tbody>
</table>
| *Choose Action Dropdown and Go Button* | • Click **Save** and click the **Go** button to save the data entered and remain on this page.  
• Click **Save and Continue** and click the **Go** button to save the data entered and go to the next section of the report.  
• Click **Mark as Complete** and click the **Go** button to save the data, mark this section’s status as **Complete**, and go back to the *Commercialization Survey - Awards* page. |

## 9.4 SBIR Phase II – Commercialization Plan

Commercialization Plans are only submitted for SBIR/STTR Phase II awards.

### 9.4.1 What Is a Commercialization Plan?

A Commercialization Plan is a federal reporting requirement for SBIR-STTR awards that have reached the end of the award period.

### 9.4.2 How do I know when a Commercialization Plan is due?

The award SRO will receive an email notification called “Out of Cycle Progress Report Requested for SBIR/STTR Award...” when the Commercialization Plan task is created. The Commercialization Plan is a type of Progress Report so the email and the task will reference that name. The task will be created on the Project Period End Date with a due date of 30 days after task creation.

### 9.4.3 How do I complete and submit a Commercialization Plan?
1. Follow the link provided in the email or navigate to the tasks tab in your PAMS account and click Start Progress Report. Although this is a commercialization plan, the task name on your tasks page will be Progress Report.

Figure 258. Tasks Tab - Progress Report Task

2. The Progress Report task will display with two sections: Cover Page and Attachments.

Figure 259. Progress Report Task

9.4.3.1 Cover Page

The Cover Page is prepopulated with information about the award. Check this page for correctness.

9.4.3.2 Attachments

Attach the documents required for your commercialization plan.

3. Review the pages of your commercialization plan submission for completeness and accuracy. Click Continue.
4. On the submission page, you may preview a PDF copy of your commercialization plan submission. When ready, click **Submit** to send your commercialization plan to DOE.

**Figure 261. Submit Progress Report**
APPENDIX A PAMS HELPDESK CONTACT INFORMATION

If you have any questions regarding PAMS or if you have any trouble accessing your information in PAMS, please contact the PAMS Helpdesk staff as follows:

<table>
<thead>
<tr>
<th>Phone</th>
<th>Hours of Operation</th>
<th>Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>(855) 818-1846 (toll free) or (301) 903-9610</td>
<td>9:00 a.m.–5:30 p.m., Eastern Time (ET), Monday–Friday</td>
<td><a href="mailto:sc.pams-helpdesk@science.doe.gov">sc.pams-helpdesk@science.doe.gov</a></td>
</tr>
</tbody>
</table>


APPENDIX B  PROPOSAL PROCESS FLOW IN PAMS

Figure C-1 is a high-level flow diagram of the phases that a Proposal goes through in PAMS.

Figure C-1. Proposal Process Flow in PAMS