



U.S. DEPARTMENT OF  
**ENERGY**

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# **DOE Office of Science Portfolio Analysis and Management System (PAMS): Overview of New Functionality**

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## New PAMS Functionality Planned for Jan 31 2015

- Progress Report Submission to DOE Office of Science
- Renewal Proposal Products for DOE Office of Science
- Award Modification Requests from Institutions to DOE Office of Science
  - No Cost Extensions
  - PI Change
  - PI Transfer to a New Institution
- DOE Office of Science Proposal Withdrawals
- DOE Office of Science Award Folders for Institutions

PAMS URL: <https://pamspublic.science.energy.gov>



## Planned Schedule

- New functionality will appear 1/31/2015.
- During deployment, PAMS will be down for a few hours and a lot of emails will go out.
- Do not be surprised if you get multiple emails, especially if you are an “Admin SRO” at an institution.
- Please read each email carefully, as some emails require action and some do not.
- See page 9 of this document for further details.
- Please try the steps in the email and contact our help desk only if you run into problems.



## Background: PAMS Roles and Privileges

- External roles of *PI*, *SRO*, and *Other* are labels and do not determine what a person can do.
- External privileges (rather than roles) determine what a person can do.
- Privileges can be institutional privileges or resource privileges, where a “resource” is a proposal, revised budget, award, progress report, etc.
- Three institutional privileges exist on the external site.
  - Manage Users
  - Manage Institution Profile
  - Submit to DOE (for revised budgets)
- How do external users get institutional privileges?
  - The *Administrative SRO/BO/AO* has these three privileges and can give them to or take them away from others at the institution.
  - Anyone with the Manage Users privilege can give or take away the privileges of others at that institution.



## Background: What is an Administrative SRO/BO/AO?

- An Administrative SRO/BO/AO has the three master privileges for an institution:
  - Manage Institution Profile, Manage Users, Submit to DOE
- Every institution is different, and they can manage access to awards and submissions according to their own business process. PAMS gives them the tools to do this.
- On Jan 31, each Administrative SRO will be given access to each award at the institution. They can then give access to others.
- Since we have been using PAMS for a while, most of our recipient institutions and some of our applicant institutions already have at least one and sometimes several Administrative SROs.
- If your institution does not have an Admin SRO yet, our help desk can advise you on the best way to get one. [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov)



## Coming Jan 31 2015: Award-Level Privileges

- To use the new PAMS functionality, you must be the Award PI, the Award SRO/BO/AO, or an Admin SRO.
- Every award must have a PAMS-registered Principal Investigator (PI) and Sponsored Research Official/Business Official/Administrative Official (SRO/BO/AO).
  - Progress Reports
    - Privileges to edit and submit will be given by default to the PI
  - Award Modification Requests
    - Privileges to edit and submit will be given by default to the SRO/BO/AO
- Note: For SBIR/STTR, these default privileges are all given to the SRO/BO/AO instead of being split between the PI for progress reports and the SRO/BO/AO for award modification requests.



# One-Time Automatic Award Registration

- As part of the rollout of this iteration, DOE Office of Science will assign a PI and an SRO/BO/AO to each award.
  - PAMS already has an assigned PI for each award.
  - For this one time only, the award SRO/BO/AO will be assigned based on a best match from our existing award systems.
- In addition, each Administrative SRO/BO/AO at the institution will be registered with award role “Other” to each award.

Many emails will go out the weekend of January 31.

- On the weekend of Jan 31, for each award, the following people associated with that award will get an email:
  - Principal Investigator
  - Award SRO/BO/AO
  - All Admin SROs at the institution
- You must be associated with an award to take award-related actions in the future.
- If you are an Admin SRO,
  - You may receive multiple emails, one for each award at your institution.
  - You may be assigned as the Award SRO on an award if we were unable to link the award to an Award SRO with an existing PAMS account.





# What should I do with the email(s) I get during rollout?

- If your email has a subject line like, “Your Access to DOE (...) Award...”
  - No action required.
  - Your existing PAMS account is already associated to the award.
  - You are ready to use the new PAMS functionality for the award.
- If your email has a subject line like, “Request from DOE (...) to Associate Award Number...with your PAMS Account”
  - You either have no PAMS account or your existing PAMS account could not be automatically connected to the award.
  - Action required:
    - Within the body of the email, click on “I already have a PAMS account” or “I do not have a PAMS account.”
    - Enter the registration code from the email and follow the onscreen instructions.
    - After taking this action, you are ready to use the new PAMS functionality for those awards for which you received emails.
  - If you have trouble with this functionality, please contact the PAMS Help Desk.



## Sample email #1 – User has a PAMS account and is already associated with the institution.

Dear Sally Smith:

You have been automatically associated to the award listed below. To access the award information and/or take actions on the award, please use the Department of Energy Office of Science [Portfolio Analysis and Management System \(PAMS\)](#).

**Your Role:** liststherole

**Award Number:** awardnumber

**Title:** Great Research

**Institution:** Kansas State University, Manhattan, KS

**Principal Investigator:** Rodriguez, John

**View Privileges:** [here](#)

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](mailto:sc.pams-helpdesk@science.doe.gov).



## Sample email #2 – User does not have a PAMS account or their existing PAMS account could not be automatically connected to the award.

Dear John Rodriguez:

Information for the award listed below is now available in PAMS. You must be associated with an award to take award-related actions in the future. To create an association with the award in PAMS, click on the appropriate link below and enter the registration code that follows. Note that two links are provided, one to use if you already have a PAMS account and one to use if you do not.

### Links:

[I already have a PAMS account.](#)

or

[I do not have a PAMS account.](#)

**Registration Code:** codewillbehere

**Award Number:** awardnumber

**PI:** Dixon, Sharlene

**SRO/BO/AO:** Lowe, Robert

**Title:** Innovative Chemistry Research

**Institution:** Auburn University, Auburn, AL

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After we make the one-time assignments during rollout, PAMS will begin its normal procedures.

- Each time an award is created (e.g., awarded by Chicago) in the future, the PI and SRO/BO/AO will be assigned automatically based on the information in the proposal.
- All Administrative SROs at the institution will also be added to the award with Award Role “Other.”



## What can our awardees submit?

1. Progress Reports
2. Renewal Proposal Products
3. Award Modification Requests
4. Proposal Withdrawals



# 1. Annual Progress Reports: Research Performance Progress Report

- Progress reports will be collected in PAMS for all grants, cooperative agreements, and interagency agreements.
- We will use the federal-wide standard Research Performance Progress Report or RPPR.
  - <http://www.nsf.gov/bfa/dias/policy/rppr/>
- It will be several months before the first progress report gets submitted into PAMS.
  - As soon as each award is modified for the first time by Chicago after Jan 31, the institution will be required to use PAMS to submit the next required progress report.



# 1. Annual Progress Reports in PAMS (continued)

- Progress Reports are due 90 days before the end of each budget period.
- Thirty days prior to the progress report due date, PAMS creates a task for the PI and sends to the PI an email request for a progress report.
- The PI completes the task in PAMS to submit the report.
- The program manager may approve, request changes, or disapprove the report.
- If a revised budget is required for the next budget period, the program manager requests it when approving the progress report.
- Reminders are sent on the report due date and 30 days after the report due date.
- If a progress report has been submitted into PAMS previously for an award, future progress report tasks will prepopulate from the previous report where possible.



## 2. Renewal Proposal Products:

This language has been added to the DE-FOA-0001204.

As of February 1, 2015, the Principal Investigator for any application submitted for a renewal (an addition of a project period) of an existing award will be required to submit a Renewal Proposal Products section through the Office of Science's PAMS website at <https://pamspublic.science.energy.gov>. The Principal Investigator must enter into PAMS each product created during the course of the previous project period. Types of products include publications, intellectual property, technologies or techniques, and other products such as databases or software. As soon as the renewal application is assigned to a program manager, the Principal Investigator will receive an automated email from PAMS (<[PAMS.Autoreply@science.doe.gov](mailto:PAMS.Autoreply@science.doe.gov)>) instructing him or her to navigate to the PAMS Task tab to complete and submit the Renewal Proposal Products. The submitted product list will be sent for merit review along with the Renewal Proposal. The Renewal Proposal will not be considered complete and cannot be sent for review until the product list has been submitted.





## 2. Renewal Proposal Products (continued)

- Renewal Proposal Products are required for renewal proposals assigned to the program manager after Feb 1, 2015.
  - They are not currently required for DOE national laboratory renewal proposals or for SBIR/STTR awards.
- As soon as any renewal proposal is assigned to a program manager by the DOE Office of Science, PAMS creates a task for the PI and sends to the PI an email request for Renewal Proposal Products. The task is due in five days.
  - The submitted product list will be sent for merit review along with the Renewal Proposal. The Renewal Proposal is not considered complete until the product list has been submitted.
- The PI completes the task in PAMS to submit the products.
- The PM does not approve or disapprove the Renewal Proposal Products. They are part of the proposal and are accepted as submitted.
- If the PI does not submit the Renewal Proposal Products within five days, PAMS sends a reminder to the PI on the due date.



## 2. Renewal Proposal Products (continued)

- The proposal cannot be sent for review until the Renewal Proposal Products are submitted by the PI.
- In steady state, the PI will be updating the Renewal Proposal Products list, which will prepopulate from the progress reports submitted into PAMS.
- NOTE: SBIR/STTR will not use the Renewal Proposal Products functionality.



## 3. Award Modification Requests

- Three types of Award Modification Requests can be submitted by an awardee to DOE Office of Science through PAMS.
  - No Cost Extension
  - Change Principal Investigator
  - Principal Investigator Transfer to a New Institution
- Recall that the privilege for submitting award mod requests goes to the Award SRO and the Admin SROs at the institution.
- Requests are made from a new section of external PAMS called the Award Folder.
- The award program manager can concur or not concur on the request.
- Program manager concurrence is necessary for the request to move forward, but the Chicago contracting staff are the only ones who can formally modify an award.



### 3. Award Modification Requests: No Cost Extension

- The SRO/BO/AO enters the following information into PAMS:
  - Proposed end date
  - Amount of funding still unspent
  - Justification no longer than 8,000 characters in a rich text box
- The SRO/BO/AO submits the request to DOE Office of Science using PAMS.
- If the program manager concurs, the Germantown program staff members initiate the paperwork requesting a modification of the award by the Chicago procurement staff.



### 3. Award Modification Requests: Change PI

- The new/proposed PI must be a registered PAMS user linked to the award institution. If he or she is not, the SRO can use a PAMS function to invite him or her to create a PAMS account.
- The SRO/BO/AO enters the following information into PAMS:
  - Selection of the new PI from registered users at the institution
  - Justification no longer than 8,000 characters in a rich text box
  - Information on how to handle the current PI (remove from award or leave on award but change role to Other)
  - Attached resume or CV of the new PI
- The SRO/BO/AO submits the request to DOE Office of Science using PAMS.
- If the program manager concurs, the PI will be changed in PAMS but will not immediately change in Chicago. The Germantown program staff members will take steps to get the PI changed in Chicago the next time the award is modified.



### 3. Award Modification Requests: PI Transfer to a New Institution

- The SRO/BO/AO uses this functionality if the PI of the award is transferring to another institution and they wish to request from DOE Office of Science the transfer of funds from the current institution to the new institution (e.g., deobligation is necessary from the current institution).
- The SRO/BO/AO enters the following information in PAMS:
  - Downloads from PAMS an SF-425 form, fills it out, and uploads it back to PAMS
  - Detailed description of the request no longer than 8,000 characters in a rich text box
- The SRO/BO/AO submits the request to DOE Office of Science using PAMS.
- If the program manager concurs, the Germantown program staff members initiate the paperwork requesting a modification of the award by the Chicago procurement staff.

## 4. Withdrawing a Proposal

- An external user must be registered to the proposal as an SRO/AO/BO to withdraw it.
  - [http://science.energy.gov/~media/grants/pdf/pams/01\\_Access\\_Proposal.pdf](http://science.energy.gov/~media/grants/pdf/pams/01_Access_Proposal.pdf)
  - Alternately, the Admin SRO/BO/AO can give out proposal privileges.
- Withdrawal is effective immediately.
- A proposal can be withdrawn by the institution if it has not yet been sent for review.
- If it has been sent for review, withdrawal can only be done by contacting the DOE Office of Science outside of PAMS.



With this iteration, we introduce the award folder on the external site. Access to content in the award folder is controlled by privileges.

The screenshot displays the PAMS interface for an award folder. At the top, the U.S. Department of Energy logo and 'Office of Science' are visible, along with the system title 'Portfolio Analysis And Management System'. A navigation bar includes 'Tasks', 'Proposals', 'Awards', and 'Institutions'. The 'Awards' section is active, showing a breadcrumb trail: 'Home » Awards » Browse » General'. A sidebar on the left lists 'ALL FUNCTIONS' with sub-sections: 'General', 'Award Overview' (including 'Award Home', 'Modification History', 'Products'), 'Submissions' (including 'Modification Requests'), and 'Users' (including 'View List').

The main content area is titled 'Award Folder' and provides general information: 'General information about the award is listed below. The NUMBER OF PENDING TASKS field shows the actual number of tasks assigned to you for the award. To view and access (+ View More)'. The featured award is 'DE-SC0012555: Systems Biology Towards a Continuous Platform for Biofuels Production' with an 'Award Status: Active'. Key details include: Institution: Massachusetts Institute of Technology, Cambridge, MA; DUNS: 001425594; PM: Graber, Joseph; Most Recent Award Date: 08/21/2014; Number of Support Years: 1; PI: Thompson, Janelle; Current Budget Period: 09/01/2014 - 08/31/2015; Current Project Period: 09/01/2014 - 08/31/2017; Amount Awarded this Budget Period: \$499,592.00.

Under the 'Resources' section, there is a 'View' button and links for 'Last Assistance Agreement' and 'Program Contact Info'. Below this, it states 'NUMBER OF PENDING TASKS: 0'. A 'Useful Links' section is divided into three columns: 'Preaward' (with 'View Proposal(s)'), 'Post Award' (with 'View Existing Award Modification Requests', 'Create New Award Modification Request', and 'View Products List'), and 'Award Users' (with 'Approve Award Access Requests', 'Manage Award Access', and 'Request Additional Award Access').

The footer contains 'Acceptable Use Policy', 'Viewers And Players', 'Contact Us', and 'PAMS External User Guide'. On the right, it shows 'Product: PAMS | Platform #: 2.37.0 | Build #: 1.5.0 | Environment: Training'. The bottom left corner indicates 'Last Login: 01/19/15 5:09:00 PM ET'. The bottom right corner features a toolbar with icons for home, search, and other functions.



# How can an institution change its default submission privileges? Award Peer Access

- Recall that these folks are given the default privileges (access):
  - The PI controls Progress Reports
  - SRO/BO/AO controls Award Modification Requests
  - For SBIR/STTR, SRO/BO/AO controls all of these
- It is possible to share the access with others, to give out privileges on an award.
- What are the privileges?
  - For Progress Reports
    - View, Edit, Submit, Administer
      - These privileges can be given to others by the PI (default)
      - Requests for these privileges can be approved by PI (default)
      - Note: For SBIR/STTR, these privileges are controlled by the SRO/BO/AO rather than the PI
  - For Award Modification Requests
    - View, Create, Edit, Submit, Delete, and Administer
      - These privileges can be given to others by the SRO/BO/AO (default)
      - Requests for these privileges can be approved by SRO/BO/AO (default)
  - For the Award Level
    - View Only
      - This can be given to others by the PI or SRO/BO/AO (default)
      - Requests for this can be approved by the PI or SRO/BO/AO (default)

# Award Peer Access (continued)

- People can request access to parts of the award folder and actions on an award.
  - If the request pertains to progress reports, the PI approves/disapproves.
    - Exception for progress reports is SBIR/STTR, where the SRO/BO/AO does this.
  - If the request pertains to award mod requests, the SRO/BO/AO approves/disapproves.
  - If the request is for view access to the award folder, either the PI or SRO/BO/AO approves.
- People can be granted (without a request) access to parts of the award folder and actions on an award.
  - The PI can grant progress report access.
    - Exception for progress reports is SBIR/STTR, where the SRO/BO/AO does this.
  - The SRO/BO/AO can grant award mod request access.
  - The PI or the SRO/BO/AO can grant view access to the award folder.
- PAMS has a set of emails that it sends from people within an institution to people within that institution. An institution can manage its own access, and DOE Office of Science program and contracting staff do need to get involved. The PAMS help desk is available to answer questions, though.
- When this iteration goes live, the Admin SROs will be given access to
  - All active awards
  - Any awards that have expired within the past six months (these will be marked inactive)



# PAMS Help Desk

- If you have trouble using PAMS, consult the “External User Guide” on the PAMS website or contact the PAMS Helpdesk
- Note: We plan to update the user guide to include this new functionality around the same time PAMS is updated (roughly Jan 31, 2015)
- PAMS Help Desk Hours:
  - Monday through Friday, 9AM – 5:30 PM Eastern Time
  - Closed Federal Holidays
- Email: [sc.pams-helpdesk@science.doe.gov](mailto:sc.pams-helpdesk@science.doe.gov)
- Telephone:
  - (855) 818-1846 (toll free)
  - (301) 903-9610

