

Guide for AOOs

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Role of the AOO

The Authorized Organizational Official (“AOO”) is an important user role in CIRM’s Grants Management System (GMS). Each Awardee institution must have at least one AOO. AOO’s are responsible for providing a secondary submission for Applications, Annual and Operational Milestone Progress Reports, and Prior Approval Requests. They are also responsible for ensuring that Payee, address, and bank account information are kept up to date.

An Authorized Organizational Official (AOO) is defined in CIRM’s Grants Administration Policy (GAP) as the following:

"An individual who is authorized to act for the Applicant organization and to assume the obligations imposed by the laws, regulations, requirements, and conditions that apply to Applications and Awards."

For more information, please see the full description in [CIRM’s GAPs](#) [E. Roles and Responsibilities, 1. Awardee Organization Staff, a. Authorized Organizational Official (AOO)].

Below is a list of qualifications that an institution’s AOO must meet. If any of the following are not true but you have reasonable justification for activating the individual as an AOO, you will

need reach out to grantsmanagement@cirm.ca.gov to designate the individual as your institution's AOO. CIRM has full discretion to determine whether the provided justification is reasonable and retains the right to refuse to activate a proposed AOO.

1. Email domain name in the above contact record is consistent with the Applicant institution.
2. AOO's title indicates an appropriate position within the Awardee institution; ex. Senior management level, who has the authority listed above. The AOO cannot be a contractor or consultant.
3. AOO is different from the PI on the Application or Award.

Designating an AOO and Submitting an Application

All CIRM Applications require an AOO be listed prior to submission. In the Application, the Principal Investigator (PI) can choose from a list of existing AOOs at your institution. If your institution has at least one existing AOO, CIRM expects that all AOO management (including adding new AOOs) will be managed internally by an existing AOO. If your Institution does not already have an AOO or if the existing AOO has left your institution, a new AOO specified in the Application will require verification by CIRM prior to Application submission. Please reach out to grantsmanagement@cirm.ca.gov for verification of a new AOO or if you have any questions about the process for designating an AOO. CIRM advises that you reach out as early as possible in this case, as we may not be able to accommodate last minute requests for AOO verification. Please note that the AOO listed must be a specific individual that meets the above listed qualifications, and all GMS login and contact emails should be attributed to that individual's personal inbox and not a shared mailbox.

All Applications are prepared by the PI or their delegate, and the AOO will not have access to the Application until the PI has performed the initial submission¹. After the initial PI submission, the AOO will receive an automated GMS email asking the AOO to review the Application and provide a secondary submission. The AOO submission completes the Application submission process to CIRM.

If you are already a designated AOO at your institution, please sign in to GMS at <https://grants.cirm.ca.gov/login/login> using your email address and previously created password. If you are a new user, click the 'New User' button and follow the instructions, making sure to use the same email address and institution entered by your PI in the AOO section of the Application. GMS will automatically match your new account with the AOO record in the Application.

The Application(s) pending review and submission will be listed under the section labeled "Action Items Needing Your Attention". Click "edit" and follow the instructions for submission of

¹ For access to an incomplete proposal, the PI must designate a delegate. The PI (or any user) can delegate their authority in the Grants Management System (including edit, complete and submit privileges) to another user who has an account setup in GMS. Once the new user's account is setup, the PI can delegate by selecting "Edit Profile" in the User Profile Menu on the top right side. At the very bottom, click on the "Specify a new delegate" link, enter and find the delegate's email address you want to provide privileges to and finish the delegating process.

the Application to CIRM. If you do not see the Application in your account, please reach out to grantsmanagement@cirm.ca.gov for assistance.

Elements of the CIRM Grants Management System for AOOs

When you sign in to the CIRM GMS, the home page will show your Action Items and provide links to your AOO related tasks, our Open Programs, and any Applications you may have started under your account or unsubmitted Applications listing you as the AOO. Open Programs shows which Program Announcements (PAs) or Requests for Application (RFAs) are currently active and allows you to start an Application. Your Applications shows you Applications you have already started. Your Applications lets you start an Application in any open program. Please note that the AOO cannot start an Application on behalf of the PI. AOO access to start an Application is for informational use only.

Action Items Needing Your Attention

In this section you will find links to incomplete Just-In-Time submissions, progress reports, and Prior Approval Requests that require an action from you as the assigned AOO. These are displayed both on your home page and the AOO page.

If this section is missing, you have no Action Items.

Just-In-Time (JIT) and Award Acceptance

When an Application has been approved, CIRM will request “Just-in-Time” (JIT) materials through a system-generated email to the PI and AOO. The required JIT documents may vary depending on the PA or RFA, the type of Awardee institution (new, for-profit, or other attributes), co-funding requirements, and other factors. Official submission of the JIT materials to CIRM will require actions by both the PI and the AOO. The AOO may sign in at any time to assist with or monitor the completion of the JIT. Once the PI has provided all the requested information, they will hit the “done” button. This will officially submit the JIT materials to the AOO for review. The AOO will be prompted via automated email from GMS to review and submit the JIT.

Once you are prompted via email to review the JIT:

1. Sign in to GMS using your email and password at <https://grants.cirm.ca.gov/login/login>.
2. In “Action Items Needing Your Attention” you will see a section labeled “Incomplete Just-In-Time Information Disclosures”.
3. Select the “Edit” link in the Actions column.
4. This will bring up the JIT Information completed by the PI. If all the items listed in the JIT email are addressed correctly, you may use the green “Submit Pre-Award JIT” button. If corrections need to be made, you can return the JIT to the PI for further editing.
5. Once the AOO has provided the secondary submission, the JIT is fully submitted to CIRM.

CIRM's Grants Management Office will then begin the pre-funding administrative review and issue a Notice of Award (NOA). CIRM will send the Notice of Award for electronic signature to the AOO and PI using DocuSign. If the AOO listed in the Application is not the preferred contract signatory, the AOO may **reassign signing responsibility** within DocuSign. The PI must sign the NOA and cannot reassign that responsibility. If the pre-award AOO is not the desired AOO for post-award tasks, you may change project assignments as needed (see **Management of Project Assignments** section below).

Progress Reports

PIs and AOOs must complete and submit Progress Reports in GMS.

CIRM has two major types of progress reports: Operational Milestone-based progress reports and time-based progress reports. Operational Milestone reports have estimated dates of achievement (rather than actual due dates) because CIRM expects them to be reported when they occur, regardless of the expected dates based on the Application timeline. The AOO will only see an Operational Milestone report in their Action Items list after the initial submission of the report by the PI.

Time-based Progress Reports are automatically provisioned by GMS 60 days prior to the due date. This will provide you with a clear picture of what is due when to ensure timely submission². Progress Reports that are due in the next 60 days or are overdue will remain in your Action Items list until completed. Those Progress Reports that are overdue are boldly marked as such under the due date. As with the JIT materials, the AOO may log in at any given time to monitor the progress of the PI's submission. Once the PI has submitted the Progress Report, the AOO will receive a system-generated email indicating the start of the AOO review process.

To review and submit a report in GMS:

1. Sign in to GMS using your email and password at <https://grants.cirm.ca.gov/login/login>.
2. In "Action Items Needing Your Attention" you will see a section labeled "Progress Reports Due Soon." A list of all Financial Reports that are overdue or are due soon will be provided under this section. Overdue reports will appear at the top of the list, followed by reports that are due soon.
3. Select the "Edit" link in the Actions column next to the Progress Report you want to review or complete.
4. This will bring up the report information completed by the PI. If all administrative sections are accurate, use the green "Submit" button to submit the report to CIRM. If corrections need to be made, you can return the Progress Report to the PI for further editing by clicking the "Return Report to PI for Revision" button.
5. Once the AOO has provided the secondary submission, the Progress Report is fully submitted to CIRM.

² Quarterly Progress Reports contain Scientific Progress only, thus are submitted solely by the PI. Every fourth project quarter a Full Progress Report is due that requires secondary submission by an AOO.

Prior Approval Requests

To submit a Prior Approval Request (PAR), the PI or their delegate signs into CIRM's GMS (<https://grants.cirm.ca.gov>), navigates to "Your Awards", and then starts a PAR under the unscheduled reports section of the appropriate grant listing. After the PI submits the PAR according to the instructions, the AOO will be asked to provide a secondary submission for institutional concurrence. If approved, CIRM will generate an amendment to the NOA and send it to the PI and AOO for execution via DocuSign. To submit a PAR, perform the following steps:

1. Sign in to GMS using your email and password at <https://grants.cirm.ca.gov/login/login>.
2. In "Action Items Needing Your Attention" you will see a section labeled "Prior Approval Requests".
3. Select the "Edit" link in the Actions column.
4. This will bring up the PAR information completed by the PI. If all administrative information is accurate, you may submit to CIRM by clicking the green "Submit" button. If corrections need to be made, you can return the PAR to the PI for further editing by clicking the "Return Report to PI for Revision" button.
5. Once the AOO has provided the secondary submission, the PAR is fully submitted to CIRM.

Performing Other AOO Related Tasks

This GMS section contains links to manage AOOs at your institution, AOO Project Assignments, and Payees at your institution.

Management of Project Assignments

All CIRM Applications require an AOO to be listed prior to submission. GMS automatically assigns this person in the AOO role for that Award should it be funded. At any time during the active Award period, an AOO may reassign another verified institutional AOO to this role. This feature should be used to ensure consistent Award management when AOOs go on vacation, take leaves of absence, receive reassignments, or leave the institution. To review and/or change an AOO assignment, follow these instructions:

1. Sign in to GMS using your email and password at <https://grants.cirm.ca.gov/login/login>.
2. On the AOO page, you will see a section labeled "Manage AOO and Payee Project Assignments at CIRM".
3. Select the "View/Edit" link to the right of "AOO Project Assignments".

4. This will bring up a menu of types of Projects that are available for your review; you may select any combination of project types by clicking the box next to the selection. Once you have made your project type selection, select the “Find Projects” button.
5. The next screen will provide a snapshot of all project types selected. The screen will show the CIRM Application/Grant Number, PI Name, Status of project, Current AOO assignment, and a link labeled “Change AOO”.
6. If you see a project that should be assigned to another AOO at your institution, or if you would like to reassign your projects while you will be away, simply select the new AOO’s name from the drop-down box in the “Change AOO” column.
 - a. **If you do not see the name of the AOO you wish to assign, this means they do not yet have an AOO contact record in our system. You can create the contact for this missing AOO per the instructions in the [AOOs at your Institution](#) section below.
7. Once you have made any changes, click the “Update AOO Assignments” button at the bottom of the screen to save your changes. Changes will not be saved otherwise.

AOOs at Your Institution

To ensure that the list of AOOs at your institution is current and accurate, you should actively review the list of people assigned this role in GMS. To monitor your institution’s AOO list, please follow these steps:

1. Sign in to GMS using your email and password at <https://grants.cirm.ca.gov/login/login>.
2. On the AOO page, go to the section labeled “Manage AOO and Payee Project Assignments at CIRM”.
3. Select the “View/Edit” link to the right of “AOOs at Your Institution”.
4. A list of those who are assigned the AOO role at your institution will be displayed.

If you see someone listed as an active AOO that should not be, please select the “Approval Checklist” link under the Actions column next to their name, then scroll to the bottom and click the blue “Inactivate” button. If you wish to reactivate an inactive AOO, simply check the box labeled “include Inactive AOOs” in the “Find AOOs” section, hit “refresh list.” Then click “Activation Checklist” next to their name and fill out the checklist to ensure compliance with all qualifications. Once the checklist is complete, you will be able to click the blue “Activate” button to activate them as an AOO.³

To designate a new AOO at your institution, click the link labeled “Create a new AOO at [your institution’s name]” and follow the instructions. You will need to confirm that they meet all the required qualifications for an AOO by completing the Approval Checklist.³ If the new AOO is matched with an existing user account with the same email and institution, the new AOO should be able to sign in with their existing credentials. If they are a new user, they can create a new account by clicking the ‘New User’ button and following the instructions, making sure to use the same email address and institution used in the “Create a New AOO” step.

³ By checking all the boxes and clicking the Activate button, you are certifying that all the qualifications are true and accurate regarding the individual listed in the contact record.

Managing Payees

CIRM disburses project funding via Electronic Funds Transfer whenever possible. All CIRM payments are sent to a single payee unless multiple payees are necessary.

Payments are directed to the Default Payee on each grant unless a CIRM Grants Management Officer directs them to one of the Secondary Payees. An AOO may select one Payee to be assigned automatically as the default payee for new grants. To edit the Payee record in the event that the associated email address or bank account information has changed, or to establish a new Payee for new Awardee institutions, please follow the directions below.

To enable Electronic Funds Transfer (EFT) for payments directed to a given Payee or to update existing EFT bank account information, you will need to request the EFT form from CIRM's Grants Management team. You will not be able to edit the fields for bank account information yourself; this will be done by CIRM. Please reach out to grantsmanagement@cirm.ca.gov to request the form. To review existing Payee information including your current bank account information or to update the Payee contact information:

1. Sign in to GMS using your email and password at <https://grants.cirm.ca.gov/login/login>.
2. Click on the tab labeled "AOO" in the header menu bar.
3. In the table "Manage AOO Project Assignments at CIRM", you will see 2 new links. Click on the "View/Edit" link for Payees at Your Institution.
4. This will show you all Payees at your institution.
5. If you have multiple Payees as your institution, you may want to consolidate your Payee contact records into one Payee for your institution. To do so, you would go back to your AOO landing page, and in the same "Manage AOO Project Assignments at CIRM" table, click on the "View/Edit" link for the final row titled "Grant-Payee Assignments at Your Institution." This is where active AOOs can reassign grants to different Payees.

CIRM Awards on Which You Are AOO

This section of your AOO page will provide an interactive model for each CIRM Award you are assigned as AOO.

1. Column 1
 - a. CIRM Award Number
 - b. Principal Investigator
 - c. Program Announcement
 - d. CIRM Science Officer and Grants Management Officer contact information.
2. Column 2:
 - a. Project Title
 - b. Link to Notice of Award (PDF)
 - c. For milestone-based Awards, a list of milestones with their completion or target dates.

- d. Progress Reports, Financial Reports, and Prior Approval Requests sorted by the original target or due date, reporting period and status. For those progress reports that were previously submitted, you may select the “View” link to see what was submitted⁴. In this same column you can view Progress Reports that are overdue and see when upcoming due dates.
3. Column 3: Displays the status of the Award.

Submitted Applications on Which You Are the AOO.

This section of your AOO page will provide an interactive model for each submitted CIRM Application you are assigned as AOO, whether funded or not. Unsubmitted Applications where you are the assigned AOO will appear in the “Your Applications” page on the main menu.

⁴ Financial reports can be viewed by the AOO and PI, but only the Financial AOO (FAOO) can edit and submit them.