GCA/GCFA – Brown Bag Session

IRES Award Setup: End-to-End Process Review (One Year Later)

May 24, 2011
**Today’s Presentation:**

<table>
<thead>
<tr>
<th>Presenter</th>
<th>Title</th>
<th>Email</th>
<th>Telephone</th>
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<tbody>
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<td>Cynthia Kane</td>
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<td><a href="mailto:cynthia.kane@yale.edu">cynthia.kane@yale.edu</a></td>
<td>203-927-0050</td>
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<td>Margaret Conway</td>
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What will you take away from today’s session?

- A recap of our first year using IRES PT and how it has changed and improved the award setup process.
- An understanding of the award setup process today, one year later, and how the Integrated Research Enterprise Solution (IRES) Proposal Tracking (PT) System and Oracle Grants Management (OGM) system are used.
- A reminder of problems that cause delays in the award setup process and ways to proactively resolve them.
- How IRES PT View and IRES reporting provides you insight into the status of your award
- An understanding of the various statuses in IRES and who to contact for assistance.
Award Setup - Timeline

May 2010:
- IRES PT is rolled out
- OGM Award Setup is established in Grants and Contracts Financial Administration (GCFA) for the activation of Sponsored accounts in OGM

September 2010:
- Grants and Contracts Administration (GCA) & GCFA introduce the “new” award setup process to campus
- Award Setup “Workout” sessions held with department representatives

October 2010:
- PT View is introduced and roll-out begins across campus
- IRES PT Award Setup Unit consolidates business process
January 2011:
  • GCA and GCFA Setup Teams are “Fully Staffed”

January – April 2011:
  • Additional business process changes are implemented to streamline award setup and IRES record data accuracy

June 2011:
  • Metrics will be implemented to identify setup processing time

July 2011 ongoing:
  • Monitoring and assessing process
Who is involved?

GCA – IRES PT Award Setup

GCA IRES PT Award Setup is responsible for:
- Reviewing of sponsored award documents for award data entry
- Entering of award information into the PT system
- Verifying compliance requirements
- Long-term data management of sponsored project awards in PT

Examples of data monitored by GCA includes:

- Project and budget period dates
- Fund Awarded totals in IRES in accordance with the award document
- Award type, Award Owning Org, Sponsor Award Number

The IRES Award Setup Unit also establishes “W” and “44” Awards in OGM
GCFA - OGM Setup

GCFA OGM setup is responsible for:
- Responding to the receipt of sponsored award notifications from IRES
- Establishment and activation of accounts in the OGM system

Examples of the data handled by GCFA includes:
- Sponsored award accounts (excluding W & 44)
- Projects, Task, and Org. associated with sponsored awards
- Out-going subswards in the Subaward Maintenance System (SMS) of OGM
- Fund awarded totals in OGM in accordance with the award document

GCFA-OGM uploads and distributes OGM & SMS setup reports and supporting documentation to departments.
How does a sponsored award get set up?
Step #1: Receipt of the Award Document

Received in GCA electronically via email

Received in GCA as a physical document delivered by courier or US Mail, FedEx, etc.
Step #2
GCA Matches & Accepts the Award

GCA matches the award document with the proposal and budget which was previously entered in IRES at time of proposal submission.

GCA Reviewer reviews and accepts the award on behalf of the University...
IRES Award Setup Unit enters the award information into IRES and checks compliance requirements are fulfilled:

- Update/revise the budget (if necessary)
- Enter special terms and conditions (if applicable)
- Enter award information such as sponsor number
- Perform compliance check for Conflict of Interest status, human subjects and animals protocol status on the award, Training status and works with the department when a compliance requirement has not been fulfilled
- Review IRES record for accuracy, verifying department and award data is complete and correct.
- When all compliances are confirmed and required data is in place, the award status is changed to “QA Complete”

OGM setup unit receives an email alert the next business day to begin financial setup.
Step #4
Award Set-up and Distribution

OGM Setup unit does the following:

1. Completes financial set-up in OGM

2. Enters P,T,A (Project, Task, and Award) and changes award status in IRES to Funded

3. Distributes Sponsored Award Confirmation Report to the department via email.
How many touch points are there in the GCA process?
GCA’s role: (May 2010 – October 2010)
GCFA’s role:

- GCFA creates the account in OGM & updates IRES
- Quality Assurance/Review
- Distributes Award Setup Report and Award Notice to dept.

*Up to 8 separate touch points. 6 directly related to activation of an account.
GCA’s role: (October 2010 – Process Improvement)

Proposal Receipt and Submission – Entered into IRES

Award receipt → Award review

Entry of Award data into IRES & Compliance Check/Hold

Quality Assurance/Review

*GCFA process remains the same
Up to 7 separate touch points.
5 directly related to activation of an account.
GCA’s role: (Additional improvement for R01 Non-Competing Continuation)

*GCFA process remains the same
Only up to 5 touch points.
3 directly related to activation of an account.
With these efforts to streamline the process, what still delays a setup?
Common problems with setup:

Incomplete/incorrect data on the TranSum/At-Risk/Cost Sharing Form

- Causes delays in award setup
  - F&A Rate and Base
  - Key & Responsible Personnel not identified
  - Incorrect Org Number
  - Missing Cost Sharing Information
  - Confirm animals or humans are proposed on the award

Revised budget not provided to GCA at time of award

- If multiple projects require a budget or Program Project (PPG) Spreadsheet to break out budget appropriately
- If multiple F&A rates require a budget or PPG Spreadsheet to break out budget appropriately

Human or animal protocols or protocol amendments not complete prior to award receipt
The TranSum is the source document from which departments communicate to GCA. When preparing the TranSum, be sure to:

- Provide a complete TranSum at proposal stage, including proposal, budget details, key personnel etc.

- Notify GCA if any information related to the proposal has changed at award, e.g., key personnel, location of work, etc.

- Select the appropriate Proposal Type

- Do **not** leave fields blank

- Provide GCA with all required documentation, e.g., PPG Spreadsheet, revised budget, etc.
To facilitate setting up the award, departments should include the following information when submitting to GCA:

- PI Name
- Proposal/Award Owning Org
- Sponsor Name
- CFDA Number (if available)
- Project Work Location
- Building
- Floor Number
- Room Number
- ARRA Funding
- Continuing PTA Request
- Proposal Budget
- PPG Spreadsheet (if available)
- F&A Rate/Base
- Key/Responsible Personnel
- Protocol information (if applicable)
- Key Signatures
- Cost Sharing information
  - Associated P, T, A
  - Cost Share Amount
- Pre-Award Date

Once an award is setup, if you need a new project, task, or linkage, access the COA Handbook (http://www.yale.edu/coa/index.html) and follow instructions for submission to coa@yale.edu.
IRES Reporting Solution, Enhanced Reporting & PT View:

How it helps you!
At the time of IRES PT implementation there were reports available in the IRES Reporting Solution providing specific information regarding proposals and award setups:

- Institutional Record Number Search
- Activity Log Report
- Record Snapshot
In 2011, additional enhanced reporting became available to the campus providing more aggregated information for departments:

- Sponsored Project Panel
- IRES Portfolio
- IRES Portfolio Allocation Reports
Locating Award Setup Information

The IRES suite of reports are available to help you locate award information. Use the following reports to access award setup related information:

**Record Snapshot**
- Contains information related to a proposal/award
  - Proposal Type, Status, IRES ID (Institutional Number)
  - Sponsor ID, Award Number
  - Personnel Information
  - Award Start & End Dates, Approved Budget (Direct & Indirect Costs)

**Activity Log Report**
- Provides a tracking of activities related to the record such as reasons for a Hold on the setup.

Refer to Quick Guide #41 for descriptions of the statuses found in the Record Snapshot and the Activity Log Report.
With the implementation of PT View in October 2010, departments received access to *real time* information regarding proposals and award setup status:

- Ability to view attachments
- Ability to locate Yale Award numbers (P, T, A)
- Ability to track status in various places
- Ability to identify why an Award is on hold
- Ability to review and provide corrections to record data
Where To Get Help

Available Resources and Links:

- **PT Record Navigation**
  - [http://yalebiz.yale.edu/proposals/ires](http://yalebiz.yale.edu/proposals/ires) (IRES Quick Reference Guides)

- **Finding Proposal and Award Status**
  - [http://yalebiz.yale.edu/proposals/ires](http://yalebiz.yale.edu/proposals/ires) (IRES Quick Reference Guides)

- **Award Status Descriptions**
  - [http://yalebiz.yale.edu/proposals/ires](http://yalebiz.yale.edu/proposals/ires) (IRES Quick Reference Guides)

- **Activity Type Descriptions (Activity Log)**
  - [http://yalebiz.yale.edu/proposals/ires](http://yalebiz.yale.edu/proposals/ires) (IRES Quick Reference Guides)

- **IRES Data Maintenance Request**
  - [http://yalebiz.yale.edu/proposals/ires](http://yalebiz.yale.edu/proposals/ires) (IRES Data Management Request Form)

- **IRES Portfolio Report and Portfolio Allocation Report**
  - [http://yalebiz.yale.edu/proposals/ires](http://yalebiz.yale.edu/proposals/ires) (IRES Quick Reference Guides)
### Who to Contact:

<table>
<thead>
<tr>
<th>IRES PT Award Setup:</th>
<th><a href="mailto:irses.award@yale.edu">irses.award@yale.edu</a></th>
</tr>
</thead>
<tbody>
<tr>
<td>OGM Setup:</td>
<td><a href="mailto:ogmsetup@yale.edu">ogmsetup@yale.edu</a></td>
</tr>
<tr>
<td>GCA Teams:</td>
<td><a href="mailto:gcat1@yale.edu">gcat1@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td><a href="mailto:gcat2@yale.edu">gcat2@yale.edu</a></td>
</tr>
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<td></td>
<td><a href="mailto:gcat3@yale.edu">gcat3@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td><a href="mailto:gcat4@yale.edu">gcat4@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td><a href="mailto:gcat5@yale.edu">gcat5@yale.edu</a></td>
</tr>
<tr>
<td>IRES Support:</td>
<td><a href="mailto:irses@yale.edu">irses@yale.edu</a></td>
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You should now:

✓ Know how IRES PT has enhanced the award setup process
✓ Have an understanding of the award setup process and how IRES PT and OGM are used.
✓ Better understand some of the challenges that may cause delays in the setup process and ways to proactively resolve them.
✓ Have an understanding of how PT View and IRES reporting provides you insight into the status of your award.
✓ Know who to contact regarding your award setup
DISCUSSION & QUESTIONS???
<table>
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<tr>
<th>Award Status</th>
<th>Definition</th>
<th>Contact</th>
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<tbody>
<tr>
<td>At Risk</td>
<td>Funding has not been approved by the sponsor but costs are being incurred and a department approved PTAO has been issued according to Yale’s Procedures. (OGM set-up completed)</td>
<td>GCFA OGM: <a href="mailto:ogmsetup@yale.edu">ogmsetup@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td></td>
<td>GCA IRES Setup: <a href="mailto:IRES.Award@yale.edu">IRES.Award@yale.edu</a></td>
</tr>
<tr>
<td>Closed</td>
<td>Funding has expired.</td>
<td>GCA Team</td>
</tr>
<tr>
<td>Funded</td>
<td>Funding has been awarded by the sponsor and the Award has been set up in OGM and a PTAO assigned.</td>
<td>GCFA OGM: <a href="mailto:ogmsetup@yale.edu">ogmsetup@yale.edu</a></td>
</tr>
<tr>
<td>Funded Restricted</td>
<td>Funding is awarded by the sponsor and the Award has been set up in OGM with a PTAO assigned. However, there are compliances (Human or Animal) that are still pending. This status means an approval has been granted by the Sponsor and GCA to begin research since animals and/or humans will not be involved for the initial period of time. <strong>NOTE:</strong> Funded Restricted will be assigned with a review date for compliances to be completed and in place. Should compliances continue to be outstanding, the award could be put On Hold.</td>
<td>GCA IRES Setup: <a href="mailto:IRES.Award@yale.edu">IRES.Award@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td></td>
<td>GCFA OGM: <a href="mailto:ogmsetup@yale.edu">ogmsetup@yale.edu</a></td>
</tr>
<tr>
<td>Pending</td>
<td>Awaiting funding approval from the sponsor.</td>
<td>GCA Team</td>
</tr>
<tr>
<td>Not Funded</td>
<td>Funding was not approved by the sponsor.</td>
<td>GCA Team</td>
</tr>
<tr>
<td>On Hold; At Risk On Hold</td>
<td>The award set up or At Risk Account has been placed on hold due to a compliance issue.</td>
<td>GCA IRES Setup: <a href="mailto:IRES.Award@yale.edu">IRES.Award@yale.edu</a></td>
</tr>
<tr>
<td>Q/A Complete; At Risk QA Complete; Funded Restricted QA Complete</td>
<td>The review of all compliances has been completed and the award or At Risk is awaiting set up in OGM</td>
<td>GCFA OGM: <a href="mailto:ogmsetup@yale.edu">ogmsetup@yale.edu</a></td>
</tr>
<tr>
<td>Transferred</td>
<td>Funding has been moved to another institution.</td>
<td>GCA Team</td>
</tr>
<tr>
<td>Withdrawn</td>
<td>Request for funding has been withdrawn from the sponsor by Yale.</td>
<td>GCA Team</td>
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**What is the IRES@yale.edu mailbox used for?**

**Departmental (External) Use.** The IRES@yale.edu mailbox is used to capture IRES access requests, data maintenance requests and business office staff inquiries. This service is provided for departments to have one point of entry for inquiries.