GCA/GCFA – Brown Bag Session
Sponsored Award Setup Process

September 7th, 2010
Today’s Presentation:

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Today’s Objectives

What will you take away from today’s session?

- An understanding of the offices involved and their role in the setup of a sponsored award.
- An understanding of the award setup process and how Integrated Research Enterprise Solution (IRES) Proposal Tracking System and Oracle Grants Management (OGM) are used.
- The identification of problems that cause delays in the setup process and ways to proactively resolve them.
- An understanding of which reports to use to find award information.
- An understanding of the various statuses in IRES, and who to contact for assistance.
What units are involved?

GCA – IRES Award Setup Unit

The Office of Grant and Contract Administration (GCA) IRES Award Setup Unit is responsible for:

- The review of sponsored award documents for award setup information
- Entry of award information into the IRES Proposal Tracking (PT) system
- Processing of the award through compliance verification
- Long-term data management of sponsored project awards in IRES

Examples of data managed 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

The Office of Grant and Contract Financial Administration (GCFA)
OGM setup unit 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 transactions handled by GCFA includes:

- Sponsored award accounts (excluding W & 44)
- Projects, Task, and Org. associated with Sponsored Awards
- Out-going SubAwards in the Subaward Maintenance System (SMS) of OGM
- Fund Awarded totals in OGM in accordance with the award document

GCFA-OGM Unit uploads and distributes OGM & SMS setup reports and supporting documentation to departments.
How does a Sponsored Award get setup?
Step #1: Receipt of the NOA

Award Document

Received in GCA electronically via email

Received in GCA as a physical document delivered by courier or US Mail
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** accepts the award on behalf of the University...
IRES Award Setup Unit enters the award information into IRES:

- Update/revise the budget (If necessary)

- Identify special terms and conditions

- Enter award information such as sponsor number

- Review IRES record for quality assurance, verifying department and award data is complete and correct
Step #4  
Compliance Check

**IRES Award Setup Unit** performs a check for Conflict of Interest status, Humans and Animals protocol status on the award and resolves any compliance holds.

When all compliances are confirmed and in place, the award status is changed to **QA Complete**.

**OGM setup unit** receives an email alert the next business day to begin financial set-up.
Step #5
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:

- Setup Process - Touch Points

1. Proposal Receipt and Submission – Entered into IRES
2. Award receipt
3. Award review
4. Entry of Award data into IRES
5. Compliance Check/Hold
6. Quality Assurance/Review
GCFA’s role:

- GCFA creates the account in OGM
- Updates IRES record and distributes to dept.
- Quality Assurance/Review
Common problems with setup:

Incomplete/incorrect data on the TranSum/At-Risk/Cost Sharing Form
  ➢ Leads to missing data for setup and can cause delays
    • F&A Rate and Base
    • Key & Responsible Personnel
    • Wrong Org. Number
    • Missing Cost Sharing Information
    • Confirm Animals or Humans are proposed on the award

Revised budget at time of award not provided to GCA
  ➢ If multiple projects require a budget or 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, i.e. key personnel, Location of work, etc.

- Select the appropriate proposal type – Do **not** leave the field blank

- Provide GCA with all required documentation, i.e. PPG Spreadsheet, revised budget etc.
To facilitate setting up the award, departments should include the following information on the forms submitted 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
- Compliance
- Approvals
- Key Signatures
- Cost Sharing
- Pre-Award Date
The IRES suite of reports are available to help you find award information. Use the following reports to access award setup related information:

**Record Snapshot**
- Contains information related to a proposal/award.

**Activity Log Report**
- Provides an overview 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.
Information you need to make your search successful:

- Legacy Number
- Institution/Proposal Number
- PI Name
- Award Owning Org
Available Resources and Links:

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

- **Award Status – Who to contact for assistance?**
  - [http://yalebiz.yale.edu/proposals/ires](http://yalebiz.yale.edu/proposals/ires) (IRES Quick Reference Guides)
You should now be able to:

✓ An understanding of the offices involved and their role in the setup of a sponsored award.
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✓ An understanding of the various statuses in IRES, and who to contact for assistance.
QUESTIONS???