IRES Proposal Development

Preparer Training
Day 1

Presented by:
Office of Sponsored Projects
Welcome and Introductions

- Name
- Department
- Role
Allowability of Costs

Day 1
- IRES Overview
- Introduction to Proposal Development (PD)
- Proposal Initiation & Creation (Non-S2S)
- Basic Budgeting
- Certification & Approval Process Overview (Routing)
- Proposal Initiation & Creation (S2S)

Day 2
- Review Day 1
- Proposal Initiation & Creation (S2S) (continued)
- Advanced Budgeting
- Child Records
- Contract Record/Clinical Trial Record
- Support
Integrated Research Enterprise Solution (IRES)

These integrated modules facilitate the preparation, review and submission of sponsored project proposals.

**Proposal Tracking (PT)**
a database used to capture and store pre-award and award information.

**Conflict of Interest (COI)**
used by faculty and others to disclose financial relationships on holdings that may conflict with the conduct of sponsored research.

**Proposal Development (PD)**
used to create and submit proposals, and captures data for the Proposal Tracking (PT) module.
Users are granted access to the PD module after completion of the PD 2-day training course. Access is granted as follows.

<table>
<thead>
<tr>
<th>Role</th>
<th>Access</th>
</tr>
</thead>
<tbody>
<tr>
<td>Preparers</td>
<td>Ability to create records for proposals assigned to your department’s Cost Center.</td>
</tr>
<tr>
<td>Departmental Approvers</td>
<td>Ability to create and review records for proposals assigned to your department’s Cost Center.</td>
</tr>
<tr>
<td>Office of Sponsored Projects (OSP) Approvers</td>
<td>Ability to create, review and submit records University-wide.</td>
</tr>
</tbody>
</table>
The **Yale University Standards of Business Conduct** articulates the ethical and legal principles that govern business dealings by Yale faculty and staff.

Appropriate Treatment of Confidential Information

In their various capacities, Yale faculty and staff become privy to confidential information of many different types. Such information may concern students, patients, employees, or research sponsors, for example, or it may be proprietary information of an enterprise licensing Yale intellectual property or otherwise subject to contractual or legislated obligations of confidentiality. Yale faculty and staff are expected to inform themselves about applicable obligations and to maintain the confidentiality of such information, safeguarding it and using it only as any applicable restrictions permit.

Consequences of Violation

Violations of these Standards, of laws and regulations, or of related University policies and procedures may carry disciplinary consequences, up to and including dismissal.

*In accordance with [Policy 1601](#), individuals must not share their NetIDs and passwords.*
Key Terms and Concepts

- **Non-S2S (Non-System-2-System):** All proposals not submitted to Grants.gov
- **S2S (System-2-System):** All proposals submitted to Grants.gov
- **PD Record:** The main proposal record.
- **Parent Record:** A main proposal record
- **Child Record:** A record linked to a parent record
Create a New Proposal
Exercise 1: Create a PD Record

| Goal                          | • Create a Non S2S PD Proposal Record  
|                              | • Complete New Proposal Questionnaire  
|                              | • Complete Setup Questions Tab        |
| Handout                      | Handout Exercise #1                   |
| Time                         | 15 minutes                             |
## Exercise 2: Budget Tab

| Goal | • Complete a Proposal Budget for Record created in Exercise #1  
|      |   • Add Personnel  
|      |   • Add Non-Personnel  
|      |   • Add SubAward with Budget  
|      |   • Validate F&A  
|      |   • Manual F&A Adjustment |

| Handout | Handout Exercise #2 |
| Time | 25 minutes |
# Exercise 3: Other Tabs

<table>
<thead>
<tr>
<th>Goal</th>
<th>• Complete all Proposal Tabs for Record</th>
</tr>
</thead>
<tbody>
<tr>
<td>Handout</td>
<td>Handout Exercise #3</td>
</tr>
<tr>
<td>Time</td>
<td>10 minutes</td>
</tr>
</tbody>
</table>
Export Controls

An export is defined as:

- A shipment of controlled articles or items outside of the U.S.
- The release, transmission, or disclosure of information (controlled software, technology, or data) to any foreign entity in the U.S. (a “deemed export”); or outside the U.S. by email, telephone, website, visual inspection, or other form of communication.

What are Export Control laws?

- Laws and regulations which prohibit the unlicensed “export” of certain technologies (information, software, and items) to foreign entities. The purpose of such laws is to prevent enemies from getting access to certain technologies which may be harmful to the US, e.g., keeping nuclear technology out of N. Korea.
- Export control laws apply to all activities at Yale, not just research.

Export Administration Regulations (EAR) cover what technologies?

- Goods, software and technology on the CCL are primarily commercial in nature not military. (Items that have military application are covered under ITAR.
- Items such as high-speed computers, biological pathogens, encryption software, lasers.
Export Controls

The Fundamental Research Exclusion (FRE):

• The results of research performed as fundamental are not subject to export control laws and regulations.

• Fundamental research, as used in the export control regulations, includes basic or applied research in science and/or engineering at an accredited institution of higher learning in the U.S. where the resulting information is ordinarily published and shared broadly in the scientific community.

Office of Foreign Assets Control (OFAC) Embargoes and Sanctions

• OFAC is within the Department of Treasury and enforces economic embargoes and trade sanctions based on US foreign policy and national security goals.

• Nearly all activities with these countries will be prohibited unless a license is requested from and issued from the U.S. government. T-5 countries: Cuba, Iran, N. Korea, Syria, Ukraine-Crimea (Russian related).

• More targeted sanctions against: the Balkans (Albania, Bosnia, Croatia, Macedonia, and Serbia), Belarus, Burundi, Central African Republic, Congo, Iraq, Lebanon, Libya, Somalia, Venezuela, Yemen and Zimbabwe.

Note: FRE is the only acceptable type of research performed at Yale.
Certification & Approval Process

Preparer Creates the Proposal in PD

Record Created: Status= In Development

Enters and Uploads Proposal Details in PD

Routing Initiated: Status= In Review

Certifies that the proposal meets Yale policies and guidelines

OSA Approver/ Signing Official (SO) Submits Proposal to Sponsor

Route Complete: Status= Ready to Submit

PI Certifier

Submits Proposal

Not Ready to Submit Status= In Development

OSP Reviewer

OSA Reviewer

Designated Preparer

Departmental Approver Confirms Proposal Data Accuracy and Completeness

Departmental Approver

Preparer Creates the Proposal in PD
When a proposal is routed for certification and approval the recipient will receive a notification via both their Yale E-mail and IRES Inbox.
Routing Emails – Approval Required

Ms. Laura B. Kozma has submitted a proposal for internal routing and approval. The details for the proposal referred to in this email and to which you have been identified as a required approval are as follows:

PI: Ms. Laura B. Kozma  
Title: "Title of the Proposal"  
Sponsor: National Science Foundation  
Owning Org: Yale Climate and Energy Institute FASGG 625002  
Deadline Date: 30-Jul-2013

Please review the proposal, provide any relevant comments and complete the approval status (Approve or Return to Submitter) within the reviewer dashboard.

To access the dashboard, click the link to the right: Reviewer Dashboard
Note: If logging in from a non-Yale location, you must log in through the Yale Virtual Private Network (VPN) prior to accessing the Reviewer Dashboard. For VPN information, click here

Additional Reference Materials:

PD Routing and Approval Quick Reference Tool for PIs
PI Routing and Approval Video Tutorial

If you have questions or comments, please contact IRES@yale.edu
Routing Emails – Outstanding Approval

A proposal has been submitted into internal routing and is awaiting your action. The details for the proposal referred to in this email and to which you have been identified as a required approval are as follows:

**PI:** Ms. Laura B. Kozma  
**Title:** "Title of the Proposal"  
**Sponsor:** National Science Foundation  
**Owning Org:** Yale Climate and Energy Institute FASGG 625002  
**Deadline Date:** 30-Jul-2013

Please review the proposal, provide any relevant comments and complete the approval status *(Approve or Return to Submitter)* within the reviewer dashboard.

To access the dashboard, click the link to the right: [Reviewer Dashboard](#)  
*Note: If logging in from a non-Yale location, you must log in through the Yale Virtual Private Network (VPN) prior to accessing the Reviewer Dashboard. For VPN information, [click here](#)*
Routing Emails – Requested Proposal Review

You asked to be included in the routing of certain proposals submitted for external funding. The details for the electronic proposal referred to in this email and to which you have access is as follows:

**PI:** Mr. Test 18 Infoed  
**Title:** PD 09 Grants.gov_NIH_Dave Rich  
**Sponsor:** National Institute on Alcohol Abuse and Alcoholism/NIH/DHHS  
**Deadline Date:** 05-Oct-2012  
**Owning Org:** CLOSE FY11 Yale Next ITSAS 536014

To access the electronic proposal, click the proposal link to the right: [Open Submission Package](#)

If you are unable to access all tabs within the Proposal Development (PD) module record, please access the proposal record through the IRES Proposal Tracking (PT) module by logging into the IRES main page: [IRES Login](#)

Any comments that you would like to provide regarding this electronic proposal, please contact Mr. Test 17 Infoed or the Office of Grant and Contract directly.
Your proposal, "PD.09 Grants.gov_NIH_Dave Rich," number 13-001703, has been sent back to you for editing.

Details are available at: Open Submission Package

When the revisions are complete, please rebuild the proposal on the Finalize Page and resubmit into Approval Route.
• Mark as ‘Reviewed’ for all
• Select ‘Ready to Submit’
• Click ‘Accept’ to the certification
• Close
Certifying and Approving a Proposal
## Exercise 4: Build and Approve a Proposal

<table>
<thead>
<tr>
<th>Goal</th>
<th>• Initiate the Route, and Approve your Proposal</th>
</tr>
</thead>
<tbody>
<tr>
<td>Handout</td>
<td>None</td>
</tr>
<tr>
<td>Time</td>
<td>20 minutes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Reviewer Dashboard Tabs</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Route</td>
<td>• Add new approval step</td>
</tr>
<tr>
<td>Review</td>
<td>• Certify &amp; Approve proposal</td>
</tr>
</tbody>
</table>
Create a S2S Proposal
Exercise 5: Create a PD Record

| Goal                                    | • Create a new PD S2S Proposal Shell Record  
|                                         | • Complete New Proposal Questionnaire  
|                                         | • Complete Setup Questions Tab  
|                                         | • Create and complete the Budget Tab |
| Handout                                | Handout Exercise #4               |
| Time                                   | 25 minutes                        |
Allowability of Costs

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- Contract Record/Clinical Trial Record
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S2S Proposal Initiation and Creation
Continued
Advanced Budgeting
# Exercise 1: Advanced Budget

<table>
<thead>
<tr>
<th>Goal</th>
<th>• Modify Budget created in Day 1</th>
</tr>
</thead>
<tbody>
<tr>
<td>Handout</td>
<td>Handout Exercise #4</td>
</tr>
<tr>
<td>Time</td>
<td>20 minutes</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Budget Tabs</th>
<th>Actions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Setup</td>
<td>• Change Budget Period Dates</td>
</tr>
<tr>
<td>Cost Sharing</td>
<td>• Add Institutional Cost Sharing</td>
</tr>
</tbody>
</table>
Other Proposal Tabs: Building and Assembling
### Class Exercise 2: Other Tabs

| Goal                              | • Complete all Proposal Tabs for Record  
|                                  | • Build and Assemble the Proposal       |
| Handout                          | None                                   |
| Time                              | 20 minutes                             |
Create a Child Record
Create a Contract Record
Create a Clinical Trial Record
## Support Resources

<table>
<thead>
<tr>
<th>Resource</th>
<th>Location/Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Online Resources</td>
<td>OSP website</td>
</tr>
<tr>
<td>OSP Support</td>
<td>Appropriate OSP Manager</td>
</tr>
<tr>
<td>Brown Bag meetings</td>
<td>Monthly</td>
</tr>
</tbody>
</table>