IRES Proposal Tracking (PT)

Presented by:
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Class Objective:
To become more familiar with the IRES PT environment so you’ll be able to find information you need.

- Overview IRES & Key Terms
- IRES Proposal Tracking Login
- Demo: Navigating IRES PT Demo
  - Explore PT Folders
- Support Materials
- Questions
IRES: Integrated Research Enterprise Solution.

IRES Proposal Tracking (PT): system that captures award information

IRES Proposal Development (PD): system used to create and submit proposals, and captures data for Proposal Tracking (PT)

IRES PT Record: a PT record is created for each proposal created in PD. The PT record tracks the status and progress of each step from proposal development through award closeout.
Login to IRES PT

1. Go to: http://IRES.yale.edu
2. Click Login
3. Enter your CAS NetID and Password
4. Click Login

Or use the It's Your Yale website link:
http://your.yale.edu

View All Links > Administrative Systems > IRES
Demonstration

http://ires.yale.edu
Left Sidebar Options

- **Exit**

- **Help**
  
  For help or to report IRES technical issues email **ires@yale.edu**
  
  – Click this link to automatically open an email:

- **Click menu items to open options:**
  
  – My Proposals: used to search for information
  
  – My Profile: used to customize settings and color preferences
My Profile: Customize your Settings

Select: My Profile > Settings

Customize your environment using the settings below. Check boxes refer to menus available on your main page.
IRES Proposal Tracking Icons

- **Done**: Click Done to exit a PT record and go back to the previous screen. *If you click Done and you haven’t saved first – you’ve lost your work!*
- **Exit**: Click to exit the IRES application.
- **Save**: Click Save after entering information in any PT record.
- **In Use**: Shows someone else is using the record. You may see incomplete or changing information. When you open a record, it locks the record for others. Need to click Done to exit and unlock the record. Records unlock automatically after a period of inactivity.
- **Show**: Displays a list of Security Access for the user logged into PT.
- **Help**: Displays help information for individual fields. Not available since the last upgrade, but hopefully will be back.
- **History**: Hover over to view additional information.
- **History**: Opens historical information related to the accessing a PT record.

Some icons will be visible, but only usable for those with the appropriate access. e.g., view only access can’t edit, very few users can delete...
1. Select **My Proposals > Search For** to open search fields
2. Enter the search criteria and click **Locate**.
   - Select: **Show Additional Search Options** to open additional search fields

3. Use the **Clear All** button to remove entries and start a new search

**Wildcard Search:** when typing search criteria into a field, use an *asterisk to replace unknown text or digits if all the information is not known.
Viewing PT Records

- To open a PT record, hover over the folder icon and select **PT View** (glasses icon).

  ![PT View Screenshot]

  **Hover over Information icon to view award status**
  
  **Click to see Workday account number and Cost Center, then click in open window to close window.**
Folders and sub-folders are used to organize award data

- When a PT record is opened, folders appear in the left side bar
- The Summary folder opens by default
- The folder you're viewing is highlighted in yellow
- Use the (+) or (−) signs to expand or collapse the folders and view more, (or less) information
- The number in parenthesis indicates the number of items in that folder
  - **Exception: the Activity Log folder always displays zero (0), even when there are items in the folder**

If you see this message in the bottom left of the window, the system is working on your request and best not to click again, just wait for the new window to open.

Waiting for ires.yale.edu...
The **Summary** folder

- Contains basic information associated with the proposal such as title, type, deadline information, department and other date fields.
- Certain date fields on the Summary screen trigger alerts.
1. **Last Updated**: The date and time when the Summary screen was last updated – *system generated*

2. **Status**: The PT Record’s history is tracked. Status details can be found in the PT Status History folder.

3. **Proposal Type**: New, Competing Continuation, Limited Submission, non-Competing Continuation, Supplement, Extension, Binding Letter of Intent/Pre-application, PI Status Request, At Risk Request, Cost Sharing Approval Form, Just In Time, Resubmission, No Cost Extension

4. **Institution Number**: This number is automatically generated during the creation of the PT Record and is not editable.

5. **Legacy Number**: Displays a ‘M’ or ‘C’ number from the pre-award legacy system, or those provided with a TranSum. This field is searchable on the Proposal search screen. If the record was created through PD, this field will be blank. This seldom populated as PD has been implemented for all Grants and Contracts. The only exception is Clinical Trials.

6. **Processed Date**: Tracks the date when a record was originally created – *system generated*.

7. **Submitted**: Either the date that OSP Pre-Award submitted a proposal via a system-to-system submission or when OSP Pre-Award returned the proposal to the appropriate department for submission to the sponsor.

8. **Initial Notif**: The date of the accepted electronic submission.

9. **Research Start**: The original start date of the project.
1. **Deadline Date**: The sponsor mandated deadline date.
2. **Deadline Type**: The PT record submission type (postmark, receipt, electronic).
3. **Deadline Time**: The time due.
4. **Previous Prop No**: This field is used to track the PT record from which the current PT record was copied, e.g., resubmission.
5. **Project Title**: The formal title of the project, the PIs proposal name and typically the name the sponsor uses.
6. **Major Goals of the Project**: The major goals of the project.
7. **Short Title**: The short title of the PT Record. This is a required field that will be used in the setup process in Oracle (PIs wording – *found on the TranSum or provided in creation of the PD Record*).
8. **Comments**: OSP records relevant information related to the PT Record e.g., proposal compliance verification, change in PI, where previous record files can be found (i.e. P-Drive, FileNet), compliance verifications (COI, training requirements,...)
1. **Associated Departments**: Tracks the Yale Cost Center associated with the PT Record. The Associated Department initially defaults to the Principal Investigator’s Cost Center.

2. **Qualify for SNAP**: This box is checked if the proposal qualifies for NIH SNAP (can submit electronically).

3. **Last Year of the Project Period**: This box is checked by OSP when it is the last year of the Project.

4. **Non-Competing Due Date**: The date the NIH Non-Competing Progress Report is due.
   - *Once the proposal is awarded, OSP will populate this field.*
   - The Non-Competing Continuation Alert is triggered by this date. This alert is sent 60 days prior to the deadline date for a Non-Competing Continuation (Progress Report) and applies to NIH grants only.
1. **No longer used: ARRA:** If the proposal is in response to an ARRA RFP, the type of request is populated. 
   NOTE: ARRA is no longer in place so this field is no longer relevant.

2. **Admin Contact:** Typically the person in the department who created the proposal in PD.

3. **Clinical Trial (Federal):** This box is only checked if the Proposal/Award is for a Federal Clinical Trial.

4. **No longer used: Exclude Expanded Authority – Federal Only:** 
   NOTE: Expanded authorities no longer apply so this field is no longer relevant.

5. **Internal Submission Date:** The PI requested deadline for reviewing and approving the proposal.
1. **Reviewer**: The name of the individual in OSP responsible for reviewing the proposal.

2. **Agency Submission Electronic No.**: The confirmation number received when successfully submitting a proposal electronically (system-to-system). (i.e., Grants.gov, FastLane, ...)

3. **Pre-Award Costs as of**: The start date of approved Pre-Award costs is captured in this field, (date you can start charging pre award costs).

4. **Workday Award Number**: Once the award setup in the Workday Financial System is complete, the Award Number is entered here and will start with AWD.

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You can search Workday for the IRES Record Number using the **Find Awards and Grants – Yale** report but the Workday Award Number is NOT searchable in IRES at this time.
The **Sponsor** folder

- Used to record detailed information about the proposal’s sponsor
1. **Sponsor Name:** The sponsor from whom Yale is receiving funds.

2. **Sponsor Type:** This field is used to record organization types, e.g., Government, Industry, Public Charity, Hospital, University, etc.

3. **Opportunity Number:** The sponsor reference number or the Funding Opportunity Announcement # (FOA).

4. **CFDA:** The Catalog of Federal Domestic Assistance number, if applicable. (Federal Grants Only)

5. **Program:** The specific program name associated with the proposal. For example, Presidential Faculty Fellows Award, if applicable.

6. **Program Type:** The program type using standard industry terms for funding mechanisms, (e.g., Research, Clinical Trial, Training, Fellowship, Cooperative Agreement, etc.)
1. **Instr Type**: The type of instrument for the submission: Grant, Contract or Subaward.

2. **Award No.**: The award number that is assigned by the sponsor.

3. **Originating Sponsor**: If Yale is the subawardee this is the Sponsor from where the funds originated.

4. **Special Requirements**: Any special requirements such as special approvals, or restrictions in the NOA that are not standard procedure.

5. **Do not Include on External Reports**: This box is checked if the proposal/award and its data should not be included on any external report. This is relevant for sponsors with publicity restrictions or donors wishing to remain anonymous.

6. **Originating Sponsor Award No.**: If Yale is the subawardee this is the Award Number from where the fund originated.
The **Personnel** folder lists personnel associated with the project.

- The Principal Investigator (PI) chosen during the setup of the proposal will be included in the Key Personnel section.

- The **Investigator Training** link allows users to view training data from the Training Management System (TMS) for all personnel on the proposal.
The main **Budget** folder displays a separate subfolder for each budget period; period folders are automatically created when budget periods are added to the main folder.

- Each of these period folders will contain F&A and Cost Sharing folders.

*Click the [show] [hide] buttons to expand each section and see more information.*
Requested Budget Detail – to view select one of the Budget Period folders

1. **Start**: Start date of the budget period.
2. **End**: End date of the budget period
3. **Associated Department**: The proposal owning Cost Center.
4. **Updated**: Used to track the last time the budget was updated.
5. **No longer used**: Submission ID
**Requested Budget Detail** – to view select one of the Budget Period folders

1. **Base Salary**: The person’s base salary which is pulled from payroll information Workday.

2. **Months**: The number of month’s the person is devoting to the project (by type – Calendar, Academic or Summer).

3. **Fringe Benefits**: The Yale negotiated Fringe Benefit Rate that is associated with this person’s appointment.

4. **Non-Key Personnel**: *Only Non-Key Personnel who are also Responsible Personnel need to be listed.*
F&A Costs Subfolder

1. **Rate**: On Campus, Off Campus, VA, West Campus, etc
2. **Base**: The F&A Base (MTDC, TDC, None IDC = 0, etc)
3. **Scheme**: Type of research & base
4. **Effective**: The F&A Rate
5. **The total F&A** dollar amount.
6. No longer used: *Calculation rate method*
7. No longer used: *Drift* and is likely not to appear on the form
Agreements Folder

- The Agreements folder
  - Used to track the status of various types of agreements related to the proposal, view summary data and any related attachments

There are multiple Agreements folders.
- The bottom Agreements folder will hold all agreements in the record but is view only.
- Agreement folders within a section will only hold documents from that section.
1. **Agreement Type**: Incoming or Outgoing Subrecipient, Clinical Trial Agreement, etc.

2. **Agreement From/To**: The proposed start and end dates of the agreement.

3. **Date Signed**: Date the contract was signed by both parties – final signature date.

4. **Institution Name**: The name of the institution/entity with whom Yale has the agreement.

5. **Effective Date**: This is the date when the agreement is effective (usually a term of the agreement).

6. **Agreement Conditions**: Notes about specific conditions that are relevant to the agreement and could affect reporting, billing, termination, etc.

7. **Agreement Comments**: This is a free form field and is used to enter notes to track agreement negotiations and other specifics related to the agreement.
Agreement status options

- The agreement status is tracked in the Agreements folder.
- The following fields provide details for each status item entered:
  - Date, Status, Recorded Date, and Recorded By
  - Status related comments can also be captured and are visible to users
Document Summary – appears at the bottom of the agreement

- Agreement documentation displays in the Document Summary section of the Agreements folder.

Agreements and supporting documentation uploaded in the Agreements folder will also be visible in the Attachments folder.
The **Attachments** folder is used to store all attachments related to the PT record.

There are multiple Attachments folders.

- The Attachments folders within a section will only hold attachments from that section.
- The Attachments folder at the bottom will hold all attachments in the record.
## Naming Conventions for Document Categories

<table>
<thead>
<tr>
<th><strong>TRANSMIT</strong></th>
<th><strong>PROPOSAL</strong></th>
<th><strong>AWARD</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>Draft-Year 1</td>
<td>Draft-Year 1</td>
<td>NOA-Year 1 (specify year)</td>
</tr>
<tr>
<td>Final_Signed_Year 1</td>
<td>Final_Year 1</td>
<td>Amendment-Year 2</td>
</tr>
<tr>
<td></td>
<td>Funded_Year 1</td>
<td>Revised-NOA-Year 1</td>
</tr>
<tr>
<td></td>
<td>Correspondence_Year 1</td>
<td>FE_Clinical</td>
</tr>
<tr>
<td></td>
<td>Appendices_Year 1</td>
<td>FE_Agreement</td>
</tr>
<tr>
<td></td>
<td>InternalBudget_Year 1</td>
<td>Oracle_SetUpSheet_Year 1</td>
</tr>
<tr>
<td></td>
<td>CSForm_Year 1</td>
<td>NCE_Year 5</td>
</tr>
<tr>
<td></td>
<td>PIStatusForm_Year 1</td>
<td>Correspondence_Year 1</td>
</tr>
<tr>
<td></td>
<td>Sub_LOI_Year 1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sub_Proposal_Year 1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Sub_OtherInfo_Year 1</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Supplement_Year 2</td>
<td></td>
</tr>
</tbody>
</table>

View a complete list of naming conventions in the [PD Quick Guides](#) on the [OSP Resources](#) website.
The **Status History** folder is found in the **Summary** folder and tracks the status of the PT record as it progresses through its life cycle.
# Proposal Status Categories

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Development</td>
<td>Proposal is being built by Team Assistant or Department Administrator.</td>
</tr>
<tr>
<td>In Review</td>
<td>Proposal is en route for internal review and approval (PD). Record is currently being reviewed by OSP (PT).</td>
</tr>
<tr>
<td>Ready to Submit</td>
<td>Proposal has completed the internal routing approval process and is ready to be submitted to the sponsor (PD only).</td>
</tr>
<tr>
<td>Pending</td>
<td>Proposal has been submitted for sponsor consideration but outcome is not yet known.</td>
</tr>
<tr>
<td>Funded</td>
<td>Proposal is awarded by the sponsor.</td>
</tr>
<tr>
<td>Closed</td>
<td>The project period has ended and all final reports have been submitted to the sponsor and the Award is now closed.</td>
</tr>
<tr>
<td>Not Funded</td>
<td>Proposal was not funded.</td>
</tr>
<tr>
<td>Withdrawn</td>
<td>Proposal was withdrawn by Yale from sponsor consideration or action was not required by OSP.</td>
</tr>
<tr>
<td>Transferred</td>
<td>Proposal is being transferred out of Yale University (relinquished).</td>
</tr>
<tr>
<td>JIT</td>
<td>NIH Just in Time (JIT) has been submitted to the sponsor. The proposal should stay in JIT status until a funding decision is made.</td>
</tr>
<tr>
<td>Approved</td>
<td>The status of Approved indicates that a Binding Letter of Intent, JIT, Non-Competing Continuation or No Cost Extension record has been approved by OSP. The status of Approved is also used when Non-Proposal type Proposals and At-Risk Request) are approved by OSP.</td>
</tr>
<tr>
<td>Not Approved</td>
<td>Used when the record (see above for types) has not been approved by OSP or the sponsor.</td>
</tr>
</tbody>
</table>
The **Awards** folder is used to view all awards associated with the Sponsored Project record including Subprojects and Outgoing Subawards

– Use to view Award Summary data and the status of the award budget periods
Click the **Awards** folder to view the award status.

- The **Budget Summary** section includes the award **Type**, **Status**, and **Total**.
- Award details can be found in each of the **Period** subfolders.
The Awards Period folders (with dates) contain detailed information about each Awarded Increment:

1. **Awarded Increment/Linked to Period**: The relevant budget increment and the period that it was linked to from the original proposal.

2. **Award Status**: The status of the Award Increment (Pending, At Risk, On Hold, Funded, etc.).

3. **Award Type**: The award type for the budget period (Initial, Anticipated, At Risk, Amendment, etc.).

4. **Sponsor Award Number**: The Sponsoring Agency’s Award Number – could be different each budget period (R01DM010783-03).

5. **Budget Start and End Dates**: The Start and End dates of the Budget Increment (not always 12 months).

6. **Associated Department**: The Award owning Cost Center.
Project (P), Task (T), and Award (A) information from the legacy OGM (Oracle Grants Management system) can be found in the Period folders.

- Select the Period subfolder and scroll to the bottom of the form.
# Award Status Descriptions and OSP Contacts

<table>
<thead>
<tr>
<th>Status</th>
<th>Description</th>
<th>Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pending</td>
<td>Pending status indicates that funding approval from the sponsor has not been received. Anticipated years without funding will remain Pending until the award notice is received. Contact: OSP Pre-Award</td>
<td></td>
</tr>
<tr>
<td>At Risk</td>
<td>Funding has not been approved by the sponsor, but costs are being incurred and a department approved Grant has been issued according to Yale’s policies and procedures (Workday Financial set-up completed). Contact: OSP IRES: <a href="mailto:ires.award@yale.edu">ires.award@yale.edu</a> OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
<td></td>
</tr>
<tr>
<td>At Risk – On Hold</td>
<td>The At Risk Request (Department Request) has been approved, but is on hold due to a compliance issue. Contact: OSP IRES Compliance: <a href="mailto:ires.award@yale.edu">ires.award@yale.edu</a></td>
<td></td>
</tr>
<tr>
<td>At Risk Q/A Complete</td>
<td>The At Risk Request (Department Request) has been approved and the compliance review has been completed. The award is awaiting set-up in Workday. Contact: OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
<td></td>
</tr>
<tr>
<td>Closed</td>
<td>Funding has expired. Contact: OSP Pre or Post Award</td>
<td></td>
</tr>
<tr>
<td>Funded</td>
<td>Funding has been awarded by the sponsor and the award has been set-up in Workday, and a Grant Number has been assigned.</td>
<td></td>
</tr>
<tr>
<td>Funded Restricted – QA Complete</td>
<td>Funded Restricted approval has been received and the compliance review is complete. The award is awaiting set-up in Workday. Contact: OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
<td></td>
</tr>
<tr>
<td>Funded Restricted</td>
<td>Funding is awarded by the sponsor and the award has been set-up in Workday and a Grant has been assigned. However, there are compliances (Human or Animal) that are still pending. This status may also indicate that an approval has been granted by the sponsor and OSP Pre-Award to begin research since animals and/or humans will not be involved for the initial period of time. Note: 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. Contact: OSP IRES Compliance: <a href="mailto:ires.award@yale.edu">ires.award@yale.edu</a> OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
<td></td>
</tr>
<tr>
<td>Not Funded</td>
<td>Funding was not approved by the sponsor. Contact: OSP Pre-Award</td>
<td></td>
</tr>
<tr>
<td>On Hold</td>
<td>The award set-up has been placed on hold due to a compliance issue. Contact: OSP IRES Compliance: <a href="mailto:ires.award@yale.edu">ires.award@yale.edu</a></td>
<td></td>
</tr>
<tr>
<td>Q/A Complete</td>
<td>The review of all compliances has been completed and the award is awaiting set-up in Workday. Contact: OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
<td></td>
</tr>
<tr>
<td>Transferred</td>
<td>Funding has been moved to another institution. Contact: OSP Pre or Post-Award</td>
<td></td>
</tr>
<tr>
<td>Withdrawn</td>
<td>Request for funding has been withdrawn from the sponsor by Yale. Contact: OSP Pre-Award</td>
<td></td>
</tr>
</tbody>
</table>
Approvals Folder

- **The Approvals folder**
  - Used by OSP IRES Award Setup, IACUC and HRPP offices to track the protocols associated with the Awards and their Congruency
  - Links at the bottom are shortcuts into other systems used to view compliance status by OSP and ORA

IRB  Internal Review Board
ORA  Office of Research Administration
- HRPP  Human Research Protection Program
- IACUC  Institutional Animal Care and Use Committee
- OSP  Office of Sponsored Projects Administration
The **Related Proposals** folder contains direct links to other proposals that either preceded or followed the record.

- Examples: a Resubmission or a Competing Continuation
- Use the Open icon to view additional information regarding the related proposals
The Communications folder displays a log of emails sent by OSP to PIs and departments.

- Emails can be sent with PT record attachments.
- Notes related to the PT record, (i.e., status updates regarding the sponsor, reviewer, dept, PI, or other offices within Yale), can be captured in the Communications log.
The **Activity** folder is used by OSP throughout the life cycle of the sponsored project to track workflow and actionable information.

- Activity items are documented to indicate specific actions required and a timeframe for completion.
- **View the Activity Type Quick Guide** for a list of Activity Type descriptions.

*The Activity folder always displays (0) even when there are items in the folder.*
Additional Resources

- IRES PD (and PT) Quick Guides
  https://your.yale.edu/policies-procedures/guides/pd-quick-guides

- IRES PD and PT login
  http://ires.yale.edu

- IRES PT Class Presentation
  https://your.yale.edu/policies-procedures/other/ires-proposal-tracking-pt-training

- OSP Contacts: find your OSP Proposal Manager, Award Manager, Award Setup Coordinator, Accountant, Subaward Specialist, GCAT email:
  https://your.yale.edu/research-support/office-sponsored-projects/sponsored-projects-contacts

- OSP Frequently Needed Yale Facts
  https://your.yale.edu/research-support/office-sponsored-projects/resources/frequently-needed-yale-facts

- OSP Resources for Research Administrators
  https://your.yale.edu/research-support/office-sponsored-projects/resources
Questions?

Email questions to: osp.trainings@yale.edu

You will receive a response within 2 business days.