IRES Proposal Tracking (PT)

Presented by:
The Office of Sponsored Projects
This course provides an overview of the IRES PT environment and is designed for those who manage sponsored projects or need to view sponsored project records.

Course Objectives:

- Upon completion participants will be able to:
  - Login to IRES PT
  - Customize their IRES home screen
  - Utilize search tips and techniques to locate records
  - Navigate within the IRES PT environment
  - Identify the various tabbed sections
  - Locate pertinent award information
Participants of this course would benefit by opening an IRES record and viewing each feature as it is reviewed in this presentation.

For the best learning experience, open any record in PT View mode and click along with the course to view the tab information and become familiar with navigating in the PT environment.

- View slides 7 thru 19 of this presentation for instructions to open a PT record.
- Be sure to open the record in PT View mode so there is no chance of making any inadvertent changes to the record.
  - Most users have PT view access. Very few users have the ability to edit a record.
  - Should you accidently make a change, click DONE to exit the page without clicking the SAVE button and no changes will be made.
- Not all records will contain every tab mentioned in this presentation.
Key Terms and Concepts

- **InfoEd**: software developer company that provides various applications and systems for managing sponsored awards, e.g., IRES PT, IRES PD, etc.

- **IRES**: Integrated Research Enterprise Solution

- **IRES Proposal Development (PD)**: system used to create and submit proposals, and captures proposal data which can be viewed in IRES Proposal Tracking (PT)

- **IRES Proposal Tracking (PT)**: system that captures award information in a record and allows users to view each step of the award process from proposal to closeout.
  - **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.
You want to find out if a grant proposal has been funded. Where would you go to find this information? *Select all that apply.*

- IRES PD (Proposal Development)
- InfoEd website
- IRES PT (Proposal Tracking)
- All of the above
You want to find out if a grant proposal has been funded. Where would you go to find this information? Select all that apply.

A. IRES PD (Proposal Development)
B. InfoEd website
C. IRES PT (Proposal Tracking)
D. All of the above

The correct answer is: C
IRES PT captures award information in a record and allows users to view each step of the award process from proposal to closeout.
To request PT access have your Lead Administrator submit the IRES User Access Request form.

Once access is granted you will be able to open the IRES PT records for your department and view award information such as:

- Proposal submission
- Approvals
- Deliverables
- Funding
- Award documents
- Sponsor Information
- Award periods
- Communications
- PI, CoPIs, and Personnel
- Award budgets
- Subaward activity
- Log of all award activities
- Agreements
- Sponsor information
- And more...
- Contracts
Login to IRES PT

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

MAKE NOTE: Preferred browsers are:
- Chrome
- FireFox

Do not use Internet Explorer (IE)
Left Sidebar Menu Options

- **My Proposals > Search For:**
  - Used to search for records and information
  - “My” refers to your department’s proposals (or all the proposals you have access to).

- **Support:**
  - For help or to report IRES technical issues email [ires@yale.edu](mailto:ires@yale.edu)
  - Click this link to automatically start an email:

- **Help icons**
  - Lead to InfoEd help which is *not relevant* for Yale IRES users

- **Exit**
  - Use this button when *all open records have been closed* and you’re ready to exit IRES
Customize Your Settings

- Select: My Profile > Settings

Customize Your Environment
- Customize the number of items to display in search results
- Customize the displayed sort order
- Check boxes to customize which features display on your home screen
- Select your preferred screen color
IRES Proposal Tracking Icons

Click **Save** after entering information in a PT record (if you have edit access).

Click **Done** to exit a PT record and go back to the previous screen. **If you’re editing a record and click Done but you haven’t saved first – you’ve lost your work!**

You can open multiple IRES records at the same time. Clicking Done closes the record and makes it available for another user. Be sure to close all records before Exiting the IRES application.

Click to **Exit** the IRES application. **Be sure all record windows are closed before exiting the application.**

Shows someone else is using the record. When in use by another person you may see incomplete or changing information. When you open a record, it locks the record for others. Be sure to click Done to exit and unlock the record. Records unlock automatically after a period of inactivity.

“Hamburger” menu icon: displays these options when clicked:

- Help Manual – not available for Yale users
- Change History – shows date and time users accessed the record (may not be visible to all users)
- Security Access – shows user’s permissions (may not be visible to all users)
- **Hide Tool Tips/Show Tool Tips** displays question marks (?) next to fields. When clicked, the question mark opens a text box with a description of information entered in the field.
You’ve tried to perform an action but you get an error message. What should you do? 
Select all that apply.

A. Email ires@yale.edu
B. Use the Help icons to search for a solution
C. Call the ITS Help Desk
D. Click the ‘Contact IRES Support’ link on the IRES home screen
You’ve tried to perform an action but you get an error message. What should you do?

Select all that apply.

A. Email ires@yale.edu

B. Use the Help icons to search for a solution

C. Call the ITS Help Desk

D. Click the ‘Contact IRES Support’ link on the IRES home screen

The correct answers are: **A and D**. Close the window and try again, but if no luck, the Yale IRES support team will assist with any IRES technical issues. Be sure to include a screenshot of the error message that appeared.

**TIP:** For questions about information in a record, contact your department manager or your assigned OSP contact.
1. To locate a record select **My Proposals > Search For** to open search fields.

**Proposal Number**
- The quickest way to locate a record is to enter the IRES record number, e.g., 18-007214
  - The first 2 digits = the fiscal year in which the record was created
  - Followed by 2 zeros and 4 digits (starting with 001000 at the beginning of each fiscal year)
2. Enter search criteria in any field(s) and click **Locate**.
   - Select **Show Additional Search Options** to display more search fields

3. Use the **Clear All** button to remove entries and start a new search
   - If you don’t get the expected search results, **Clear All** and try again before contacting IRES support
Select: **Show (Hide) Additional Search Options** to show (or hide) additional search fields
Searching for a Record with Wildcards

**Wild card search**

- An asterisk * can stand in for any unknown characters or words entered into a search field.
- Use an asterisk * when you can’t remember all the words or how something is spelled.
  
  Examples:
  
  - Enter 18-001* in the Proposal number field if you can’t remember the last digits of your record number.
  - Enter *heart* in the Title field if you know the word ‘heart’ is part of the title.

*Note: a wildcard will work in many fields, but may ‘timeout’ and not work in some fields.*

**TIP:** Enter text in multiple fields to narrow your search. Searches are not case sensitive.
Search Tips

- The fields with greyed out text in the search box are predictive search fields, e.g., Sponsor, PI, Primary Assoc Dept, PI Department, etc.

  - As you start typing a list of possible matches appears; the list dwindles as you continue to type more text.
You’re trying to locate a record but don’t have the IRES record number. You know the record was created in fiscal year 2019 and ‘NASA’ is in the title. What could you enter to find the record? (Write down your answer before proceeding.)
You’re trying to locate a record but don’t have the IRES record number. You know the record was created in fiscal year 2019 and ‘NASA’ is in the title. What could you enter to find the record? *(Write down your answer before proceeding.)*

<table>
<thead>
<tr>
<th>Property</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal number</td>
<td>19*</td>
</tr>
<tr>
<td>Title</td>
<td><em>nasa</em></td>
</tr>
</tbody>
</table>

![Proposals - Search For form](image)
Viewing PT Records

1. To open a PT record, hover over the folder icon
2. Then select **PT View**
   - Most users have **PT View** access; select **PT Edit** if you have the ability to edit records.
3. If **In Use** box is checked, someone is using the record.
4. Hover over the information icon to view the current proposal status.
• The Spine refers to the black column along the left side of the screen

• Tabbed sections are used to organize award data
  – Menu items in the spine (left panel) are referred to as Tabs
  – When a PT record is opened, tabs appear in the left side bar
  – The **Summary** tab opens by default
  – The tab you’re viewing is highlighted with a yellow arrow
  – Use the (+) or (−) signs to expand or collapse the tabs and view more, or less information
  – The number in parenthesis indicates the number of items in that tab
    • Exception: the **Activity Log** tab ALWAYS displays zero (0), even when it contains items

If you see this message in the bottom left of the window: **Waiting for ires.yale.edu...** the system is working on your request and best not to click again, just wait for the new window to open.
The **Summary** tab

- Contains basic information associated with the proposal such as title, type, deadline information, department and other date fields.
- The status field on the Summary screen can trigger COI review.

<table>
<thead>
<tr>
<th>Proposal Type</th>
<th>Institution Number</th>
<th>Status: Not Funded</th>
</tr>
</thead>
<tbody>
<tr>
<td>New</td>
<td>16-005447</td>
<td>5:00 PM</td>
</tr>
<tr>
<td>Processed Date</td>
<td>17-May-2016</td>
<td></td>
</tr>
<tr>
<td>Submitted</td>
<td>31-May-2016</td>
<td></td>
</tr>
<tr>
<td>Deadline Date</td>
<td>01-Jun-2016</td>
<td></td>
</tr>
<tr>
<td>Deadline Type</td>
<td>Electronic</td>
<td></td>
</tr>
</tbody>
</table>

**Proposal Attributes**

- PHS/NIH
- Human Subjects
- Lab Animals
- Multi PI
- Training Grant
- Stem Cells
- Clinical Trial
- NIH Phase III Clinical Trial
Summary Tab Fields

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 tab.
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 PD/PT Record and is not editable.
5. **Legacy Number**: This field is no longer used. Older records may display a number starting with ‘M’ or ‘C’ from the pre-award legacy system, or those previously provided with a TranSum*. This field is searchable on the Proposal search screen. If the record was created through PD, (as most records are), this field will be blank.
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**: This field is typically left blank, if a date appears it is the date of the accepted electronic submission.

*Departments without access to IRES PD submit a TranSum form to OSP with the information needed to create an IRES record.*
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.
5. **Proposal Attributes**: Overview of key information based on questions answered ‘yes’ in the PD setup questions.
6. **Project Title**: The formal title of the project, the PIs proposal name and typically the name the sponsor uses.
7. **Major Goals of the Project**: This field lists the major goals of the project, but is very rarely used.
1. **Short Title**: The short title of the PT Record. This is a required field that will be used in the PD setup process which has been entered on the Regulatory form (or TranSum).

2. **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,...)

3. **Associated Departments**: Tracks the Yale Cost Center associated with the PT Record. The Associated Department initially defaults to the Principal Investigator’s Cost Center.
1. **Qualify for SNAP**: This box is checked if the award qualifies for NIH SNAP (Streamlined Non-Competing Award Process) (can submit electronically).

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

3. **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:** The person in the department who can be contacted for questions regarding the record.

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:** This field is not used.
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 (by the OSP Proposal Manager) either system-to-system (e.g., NIH, DOD, etc.), or in an external portal (e.g., Fastlane, NASA, American Heart Association, etc.).

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**: This number is generated by the Workday Financial System during setup and entered in the IRES record by OSP. All Workday Award Numbers start with AWD.

   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 Summary tab contains the following information:
Select all that apply.

A. IRES record number
B. Date proposal submitted
C. Detailed Budget
D. PI’s name and Key Personnel
E. Workday award number
The Summary tab contains the following information:
Select all that apply.

A. IRES record number
B. Date proposal submitted
C. Detailed Budget
D. PI’s name and Key Personnel
E. Workday award number

The correct answers are: A, B, E. However, the Workday award number will not appear in the summary tab until the Workday financial setup has been created.
The Sponsor tab

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

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

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

4. **Opportunity Number**: The sponsor reference number or the Funding Opportunity Announcement # (FOA); populates for system-to-system (S2S) submissions.

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

6. **Program**: The specific program name associated with the proposal; populates for system-to-system (S2S) submissions.

7. **Program Type**: The program type is selected by using standard industry terms for funding mechanisms, (e.g., Research, Clinical Trial, Training, Fellowship, Cooperative Agreement, etc.); selected from list by the DBO when creating the record in PD.
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. **Special Requirements:** Any special requirements such as special approvals, or restrictions in the NOA (Notice of Award) that are not standard procedure. This information also appears in Workday.

4. **Originating Sponsor Award No.:** If Yale is the subawardee this is the Award Number from where the fund originated.

5. **Do not Include on External Reports:** This box is used by OSP and checked if the proposal/award and its data should not be included on any external reports. This is relevant for sponsors with publicity restrictions or donors wishing to remain anonymous.
Which of the following is true about the Sponsor tab? 
Select all that apply.

A. If Yale is the subawardee, the Sponsor tab will be blank.
B. The Special Requirements field highlights award requirements that are not standard procedure and must be adhered to.
C. All the information on the Sponsor tab can also be found in Workday.
D. Some IRES records do not have a Sponsor tab.
Which of the following is true about the Sponsor tab?
Select all that apply.

A. If Yale is the subawardee, there Sponsor tab will be blank.
B. The Special Requirements field highlights award requirements that are not standard procedure and must be adhered to.
C. All the information on the Sponsor tab can also be found in Workday.
D. Some IRES records do not have a Sponsor tab.

The correct answer is: B. B is the only true statement.
The Personnel tab 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.
1. **PI:** Indicates the Principal Investigator

2. **Name/Role:** select the person’s name to view contact information
   - **1** Prime
   - **2** Subaward

3. **Mail:** those with edit access (i.e., OSP staff) can click the envelope icon to send an email from IRES
   - The email will be delivered to the recipient’s Outlook Inbox. If the recipient responds, the response will be in Outlook. If relevant, the communication will be manually uploaded to IRES by OSP, and/or an activity log will be opened.

4. **COI** (Conflict of Interest): shows their financial disclosure status
   - **✓** AAN (All Answers No): indicates all COI questions were answered “No” and there are not conflicts.
   - **⚠️** Warning – their disclosure has expired or a transactional review (review of an individual’s external financial interests as related to the work the described in the proposal) is needed.
   - **❓** No COI disclosure is on file for this person.
5. **Responsible**: Indicates the PD/PI (Program Director/Principal Investigator), individual(s) who have full responsibility and authority for the project. Responsible personnel must disclose financial interests.

6. **Order**: Names will appear in alphabetical order by default. Entering a number overrides the alpha order.

7. **Organization / Department**: lists the person’s org and department

8. **Person Months, % Allocation, Allocation Amount**: show the effort allocation averages of all years.

9. **Remove**: In IRES PD, clicking this icon removes the person’s name from the list.

10. **Investigator Training**: select this link to display a list of the Investigator’s training compliance status
    - Once the list is displayed, click each person’s name to see the status of their requirements
Why might you select the Personnel tab?

Select all that apply.

A. You’re assisting the PI with a presentation and need a list of all key personnel.
B. You’re reviewing the award financials and need to see personnel salary information.
C. You need to confirm the PI has completed all required training.
D. You want to confirm that the PI has completed their financial disclosure and there is no conflict of interest.
Why might you select the Personnel tab?
Select all that apply.

A. You’re assisting the PI with a presentation and need a list of all key personnel.
B. You’re reviewing the award financials and need to see personnel salary information.
C. You need to confirm the PI has completed all required training.
D. You want to confirm that the PI has completed their financial disclosure and there is no conflict of interest.

The correct answers are: A, C, D. B could not be correct because salary information is not contained in the Personnel tab.
The main **Budget** tab at the top captures the original PD proposal submitted by the department.

A separate tab for each budget period reflects actual financial information.

- Period tabs are automatically created when budget periods are added to the main tab
- Each period tab will contain F&A (Facilities and Administrative) and Cost Sharing tabs

Click the [show] [hide] buttons to expand each section
Requested Budget Detail: to view select one of the Budget Period tabs

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

<table>
<thead>
<tr>
<th>Key Personnel</th>
<th>NAME</th>
<th>ROLE</th>
<th>BASE SALARY</th>
<th>ACAD</th>
<th>SUMMER</th>
<th>SALARY</th>
<th>FRINGE BENEFITS</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Detail</td>
<td>PD/PI</td>
<td></td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Cost Sharing</td>
<td>Cost Sharing</td>
</tr>
<tr>
<td>Detail</td>
<td>Co-Investigator</td>
<td></td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Cost Sharing</td>
<td>Cost Sharing</td>
</tr>
<tr>
<td>Detail</td>
<td>Co-Investigator</td>
<td></td>
<td>1.20</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Cost Sharing</td>
<td>Cost Sharing</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Non-Key Personnel</th>
<th>NAME</th>
<th>ROLE</th>
<th>BASE SALARY</th>
<th>ACAD</th>
<th>SUMMER</th>
<th>SALARY</th>
<th>FRINGE BENEFITS</th>
<th>TOTAL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Detail</td>
<td>Post Doctoral Associate</td>
<td></td>
<td>12.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Cost Sharing</td>
<td>Cost Sharing</td>
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<tr>
<td>Detail</td>
<td>System Administrator</td>
<td></td>
<td>2.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Cost Sharing</td>
<td>Cost Sharing</td>
</tr>
<tr>
<td>Detail</td>
<td>Research Assistant</td>
<td></td>
<td>12.00</td>
<td>0.00</td>
<td>0.00</td>
<td>0.00</td>
<td>Cost Sharing</td>
<td>Cost Sharing</td>
</tr>
</tbody>
</table>

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**: All non-key personnel are listed here.
**F&A Costs Tab** – totals will appear at the bottom of each column

1. **Calculation rate method**: No longer used
2. **Scheme**: Type of research & base
3. **Base**: The F&A Base (MTDC, TDC, None IDC = 0, etc)
   - MTDC: Modified Total Direct Costs, TDC: Total Direct Costs, IDC: Indirect Costs
4. **Rate**: On Campus, Off Campus, VA, West Campus, etc
5. **Effective**: The F&A Rate

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**Scheme Options**
- Instruction (Off Campus)
- Instruction (On Campus)
- Org Rsrch – Off Campus
- Org Rsrch CMHC
- Org Rsrch On Campus
- Org Rsrch VA@ West Haven
- Other Spons Act on Campus
- Other Spons Act Off Campus
- Res DOD Contract
What is the difference between the information displayed on the Budget tabs and the Period tabs? Select all that apply.

A. The information is the same but organized differently.
B. The Budget tab summarizes all information. The Period tabs contains specific details.
C. The Budget tab is an overview of the entire budget. The Period tabs contain individual budget years.
D. There are no differences.
What is the difference between the information displayed on the Budget tabs and the Period tabs? Select all that apply.

A. The information is the same but organized differently.
B. The Budget tab summarizes all information. The Period tabs contains specific details.
C. The Budget tab is an overview of the entire budget. The Period tabs contain individual budget years.
D. There are no differences.

The correct answer is: C
Agreements Tab

- The Agreements tab
  - Contains all the contract, subaward, or grant agreements for the record
  - Is primarily used by those managing clinical trials, subawards, and contracts

- The Agreements tab is used to:
  - Track the agreement status
  - View a summarized list of the award agreements
  - View the agreement documents and details

- There are multiple Agreements tabs in a record.
  - All Agreements will live in the Agreements tab of the Parent record
  - Agreements and support documentation uploaded into the Agreements tab will also be visible in the Attachments folder

**Note:** Agreements = documents that require signatures before becoming effective. Attachments = all other documents.
When the Agreements tab is clicked:

1. The tab expands to display subtabs with the name of each agreement
2. The Agreement Summary displays a list of all agreements
3. Click the Open icon 📂 or the agreement subtab to view agreement documents and details

The Agreements summary list can be sorted
   - Click the column header, then click the triangle icon to the right of the column header
### Agreement status options

- The agreement status is tracked in the Agreements tab.
- The following fields provide details for each status item entered:
  - Date, Status, Recorded Date, and Recorded By
  - Status related comments can also be captured in the comments box

#### Status Options

<table>
<thead>
<tr>
<th>Status Options</th>
</tr>
</thead>
<tbody>
<tr>
<td>In Development</td>
</tr>
<tr>
<td>In Negotiation Yale</td>
</tr>
<tr>
<td>Sponsor</td>
</tr>
<tr>
<td>Approved – Not Fully Executed</td>
</tr>
<tr>
<td>Fully Executed</td>
</tr>
<tr>
<td>Rejected</td>
</tr>
<tr>
<td>Terminated</td>
</tr>
<tr>
<td>Withdrawn</td>
</tr>
</tbody>
</table>

![Agreement Status History](image)
Agreement Details

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 how the award is managed regarding reporting, billing, termination, etc.

7. **Agreement Comments**: Used to enter notes to track agreement negotiations, status update information, and see the dates as it progresses from ‘In Development’ through ‘Fully Executed’.
### Document Summary

- **Document Summary** – appears at the bottom of the agreement
  
  Agreement documentation displays in the Document Summary section of the Agreements tab.

<table>
<thead>
<tr>
<th>Name</th>
<th>Category</th>
<th>View Latest</th>
<th>History</th>
<th>Versions</th>
<th>Last Updated</th>
</tr>
</thead>
<tbody>
<tr>
<td>Proposal 18-001245</td>
<td>Proposal</td>
<td></td>
<td></td>
<td>1</td>
<td>12-Nov-2018</td>
</tr>
</tbody>
</table>

**Note:** Not all records will have agreements. Non-federal awards, subawards, and contracts will typically have items in the Agreements tab.
Which of the following is true about the Agreements tab? Select all that apply.

A. Contract documents can be found in the Agreements tab.
B. Agreements become visible after the agreement has been fully executed.
C. The life-cycle of an agreement from development through fully executed can typically be found in the Agreements tab.
D. There is only one Agreements tab.
Which of the following is true about the Agreements tab? Select all that apply.

- A. Contract documents can be found in the Agreements tab.
- B. Agreements become visible after the agreement has been fully executed.
- C. The life-cycle of an agreement from development through fully executed can typically be found in the Agreements tab.
- D. There is only one Agreements tab.

The correct answers are: A and C
The **Attachments** tab stores all documents related to the PT record.

- There are multiple Attachments tabs
  - There is an Attachments tab for every Child record
  - The Attachments tab within a section should only hold attachments for that section
  - The Attachments tab at the bottom will hold all attachments in the record

- To view a complete list of the all attachments:
  - Click the Attachments tab, then click the General tab
  - Click the attachment to open and view the file contents
Attachments that are uploaded in PD to the ‘ROOT’ folder will not show up in the General Attachments tab in PT.

- You can find these attachments in the spine (left panel) above the Regulatory Form.
- If you click on the file name, the record will refresh to a page where you can open and view the document.
- For System-to-System submissions, the ‘Assembled Doc’ will ALWAYS live in the ROOT folder.

**Note:** When documents are uploaded in PD, there is an option to upload to the ROOT (main folder) or GENERAL (subfolder); this determines where the document will be found in the IRES record.
Use the Sort, Group and Filter tools to locate a particular document

- Click the column header to sort in ascending or descending order
- Drag a column header above the list to group documents by that category
- Click the filter tool to display only those documents that match your filter criteria
Which of the following is true about the Attachments tab? Select all that apply.

A. Attachment file names are listed in the record, but the file contents are private.
B. The number of attachments stored in a record is limited to 100 attachments.
C. The attachments list can be sorted into date order.
D. All attachments require signatures.
Which of the following is true about the Attachments tab? Select all that apply.

A. Attachment file names are listed in the record, but the file contents are private.
B. The number of attachments stored in a record is limited to 100 attachments.
C. The attachments list can be sorted into date order.
D. All attachments require signatures.

The correct answer is: C.

IRES records can contain hundreds of attachments. Sort, group and filter tools can be useful in locating a particular document.
Benefits of file (document) naming conventions

- IRES records can contain hundreds of attachments. When all attachment file names follow standard naming conventions it’s easier for users to find the document they need.
- Using naming conventions allows like files to be sorted and grouped together making it easier to locate a file.
- When departments submit (upload) a document, the file name becomes the IRES attachment name.

★ Be sure to rename your file and use the IRES naming conventions before uploading files.
<table>
<thead>
<tr>
<th>Document Type</th>
<th>Definition</th>
<th>Naming Conventions</th>
</tr>
</thead>
<tbody>
<tr>
<td>Award</td>
<td>Documentation related to the award once funded</td>
<td>Amendment_YR 02, Corres_Amend 01, FE_Contract, FE_Clinical_Trial, FE_Initial_Agreement</td>
</tr>
<tr>
<td></td>
<td></td>
<td>FE_Ampd 1, NCE_YR 05, NOA_YR 01 (specify year), NOA_YR 01 REV 01, RPPR_YR 01 (specify year)</td>
</tr>
<tr>
<td>Progress Report</td>
<td>Documentation related to the submission of non-competing continuations: Progress report/eSNAP, Correspondence</td>
<td>Corres_“Define”, Draft_Year X</td>
</tr>
<tr>
<td>Proposal</td>
<td>Documentation related to the submission of a proposal, including but not limited to: Draft proposal, Correspondence related to the proposal, Appendices related to the proposal, Cost Sharing Approval Form, PI Status Request Form, Sub statement of work, budget, justification, etc., Subrecipient Information &amp; Compliance Form, Supplement Materials</td>
<td>Appendices_Year 1, Appendices_Award 1, Corres_“Define”, Correspondence_Year 1, CSForm, CSForm_Award 1, Final_Award 1, InternalBudget_Award 1, PIStatusForm, PIStatusForm_Award 1, Sub_LOI_Award 1, Sub_OtherInfo_Award 1, Sub_Proposal_NYU, Sub_Proposal_Award 1, Sub_SICForm_NYU, Supplement_“Type”_1, Supplement_Year 2</td>
</tr>
<tr>
<td>Compliance</td>
<td>Documentation related to compliance including, but not limited to: Correspondence, IACUC Approval Letter</td>
<td>Corres_“Define”, IACUC_2010 (Approval Year)</td>
</tr>
<tr>
<td>JIT</td>
<td>Documentation related to JIT requests and submissions, including, but not limited to: JIT materials, Correspondence</td>
<td>Corres_“Define”, Material</td>
</tr>
<tr>
<td>Sponsor Guidelines</td>
<td>Documentation related to sponsor guidelines for proposal or award, including but not limited to: Instructions/guidelines such as an RFA or RFP, Correspondence (this could be confirmation of details in the RFP)</td>
<td>Corres_“Define”, RFP or Instructions, etc</td>
</tr>
</tbody>
</table>
The **Status History** tracks the stages of the award as it progresses through its life cycle.
<table>
<thead>
<tr>
<th>Status History Categories</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>In Development</strong></td>
</tr>
<tr>
<td><strong>In Review</strong></td>
</tr>
<tr>
<td><strong>Ready to Submit</strong></td>
</tr>
<tr>
<td><strong>Pending</strong></td>
</tr>
<tr>
<td><strong>Funded</strong></td>
</tr>
<tr>
<td><strong>Closed</strong></td>
</tr>
<tr>
<td><strong>Not Funded</strong></td>
</tr>
<tr>
<td><strong>Withdrawn</strong></td>
</tr>
<tr>
<td><strong>Transferred</strong></td>
</tr>
<tr>
<td><strong>JIT</strong></td>
</tr>
<tr>
<td><strong>Approved</strong></td>
</tr>
<tr>
<td><strong>Not Approved</strong></td>
</tr>
<tr>
<td><strong>Incomplete</strong></td>
</tr>
</tbody>
</table>
The Snapshot tab gives an overview of the information from the following tabs: Summary, Sponsor, Personnel, Budget, Approval, Agreements, Deliverables, and Awards tabs.

- It summarizes information from multiple tabs into a single window, but does not contain detailed information for each section.
Which of the following is true? Select all that apply.

A. The Snapshot tab summarizes information from multiple tabs into one report.
B. The Status History tab could be used to determine if an award had been funded.
C. Standardizing file names by using naming conventions makes it easier to locate the documents in the record.
D. There can be multiple Attachments tabs in a record.
Which of the following is true? *Select all that apply.*

A. The Snapshot tab summarizes information from multiple tabs into one report.
B. The Status History tab could be used to determine if an award had been funded.
C. Standardizing file names by using naming conventions makes it easier to locate documents in the record.
D. There can be multiple Attachments tabs in a record.

*The correct answers are: A, B, C, D. All of the above statements are true.*
The **Awards** tab is used to view all awards associated with the Sponsored Project record

- The Awards tab only includes direct and indirect (F&A) costs
- Outgoing Subawards are visible once setup by OSP
- Use to view Award Summary data and the status of the award budget periods
- Use the `[show] [hide]` buttons to expand (or collapse) the various sections, e.g., Budget Summary, Personnel, Non-Personnel, etc.
- When visible, hover over the 🚨 warning icon for additional information
Click the **Awards** tab to view the award status.

- The **Budget Summary** section includes the award **Type**, **Status** and **Total**
  - View each budget period, any amendments that occurred, and funding received
  - Award details can be found in each of the **Period** tabs
  - Additional sections appear below the budget summary including personnel, costs, and outgoing subaward information
Awards Tab: Periods

The **Awards Period** tabs (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 (R01DM010783-01, R01DM010783-02, R01DM010783-03).

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

6. **Associated Department**: The Award owning Cost Center.
**Awards Tab: Relevant Dates**

- **NOA or At Risk Request Received by OSP**: date OSP received award notice/fully executed agreement or At Risk Request
- **Submitted to Workday for Setup**: date sent to the OSP Financial team for setup in Workday
- **Workday Award Setup Complete**: date of award setup in Workday

![Additional Award Information](image)

- **NOA or At Risk Request Received by OSP**: 14-Feb-2017
- **Submitted to Workday for Setup**: 02-Mar-2017
- **Workday Award Setup Complete**: 02-Mar-2017

Project: 1096931
Task: 1
Award: A11020
Awards Tab: Legacy PTAEO Fields

- Project (P), Task (T), and Award (A) information from the legacy OGM (Oracle Grants Management system) can be found in the Period tabs.
  - To view, select the Period tab and scroll to the bottom of the form.
  - These fields will be blank for records created after July 2017 (the implementation of Workday Financials).
# 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>Awaiting funding approval from the sponsor. In addition, out years with</td>
<td>OSP Pre-Award</td>
</tr>
<tr>
<td></td>
<td>anticipated funding will remain Pending until the award notice is received.</td>
<td></td>
</tr>
<tr>
<td>At Risk</td>
<td>Funding has not been approved by the sponsor, but costs are being</td>
<td>OSP IRES: <a href="mailto:ires.award@yale.edu">ires.award@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td>incurred and a department approved Grant has been issued according to</td>
<td>OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td>Yale's policies and procedures (Workday Financial set-up completed).</td>
<td></td>
</tr>
<tr>
<td>At Risk – On Hold</td>
<td>The At Risk Request (Department Request) has been approved, but is on</td>
<td>OSP IRES Compliance: <a href="mailto:ires.award@yale.edu">ires.award@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td>hold due to a compliance issue.</td>
<td>OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
</tr>
<tr>
<td>At Risk Q/A Complete</td>
<td>The At Risk Request (Department Request) has been approved and the compliance</td>
<td>OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td>review has been completed. The award is awaiting set-up in Workday.</td>
<td></td>
</tr>
<tr>
<td>Closed</td>
<td>Funding has expired.</td>
<td>OSP Pre or Post Award</td>
</tr>
<tr>
<td>Funded</td>
<td>Funding has been awarded by the sponsor and the award has been set-up in</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Workday, and a Grant Number has been assigned.</td>
<td></td>
</tr>
<tr>
<td>Funded Restricted –</td>
<td>Funded Restricted approval has been received and the compliance review</td>
<td>OSP Pre or Post-Award</td>
</tr>
<tr>
<td>QA Complete</td>
<td>is complete. The award is awaiting set-up in Workday.</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Note: Funded Restricted will be assigned with a review date for</td>
<td></td>
</tr>
<tr>
<td></td>
<td>compliances to be completed and in place. Should compliances continue to</td>
<td></td>
</tr>
<tr>
<td></td>
<td>be outstanding, the award could be put On Hold.</td>
<td></td>
</tr>
<tr>
<td>Not Funded</td>
<td>Funding was not approved by the sponsor.</td>
<td>OSP Pre-Award</td>
</tr>
<tr>
<td>On Hold</td>
<td>The award set-up has been placed on hold due to a compliance issue.</td>
<td>OSP IRES Compliance: <a href="mailto:ires.award@yale.edu">ires.award@yale.edu</a></td>
</tr>
<tr>
<td>Q/A Complete</td>
<td>The review of all compliances has been completed and the award is</td>
<td>OSP Accountant: <a href="mailto:OSPFinancial@yale.edu">OSPFinancial@yale.edu</a></td>
</tr>
<tr>
<td></td>
<td>awaiting set-up in Workday.</td>
<td></td>
</tr>
<tr>
<td>Transferred</td>
<td>Funding has been moved to another institution.</td>
<td>OSP Pre or Post-Award</td>
</tr>
</tbody>
</table>
Which of the following are false for the Awards tab?
Select all that apply.

A. Only direct and indirect costs are available in the Awards tab period sections.
B. The sponsor’s award number can change from year to year.
C. Complete budget information can be viewed in the period sections of the Award tab.
D. Subaward information can be viewed in the Awards tab.
Which of the following are false for the Awards tab?
Select all that apply.

A. Only direct and indirect costs are available in the Awards tab period sections.
B. The sponsor’s award number can change from year to year.
C. Complete budget information can be viewed in the period sections of the Award tab.
D. Subaward information can be viewed in the Awards tab.

The correct answer is: **C is the false statement.** Only limited information (direct and indirect costs) can be viewed in the Awards tab for subawards and Yale budgets.
The Approvals tab

- Is used by the OSP IRES Award Setup team, 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 users
- Congruency information is entered here for NIH records at time of JIT

<table>
<thead>
<tr>
<th>INSTITUTION NUMBER</th>
<th>TYPE</th>
<th>PROTOCOL NUMBER</th>
<th>APPROVAL STATUS</th>
<th>APPROVED DATE</th>
<th>APPROVED FROM</th>
<th>APPROVED TO</th>
<th>REVIEW CATEGORY</th>
<th>OPEN</th>
<th>REMOVE</th>
</tr>
</thead>
<tbody>
<tr>
<td>16-001234</td>
<td>IACUC</td>
<td>2019-10670</td>
<td>Congruent</td>
<td>11-Nov-2016</td>
<td>Default</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>16-001234</td>
<td>IACUC</td>
<td>2016-10670</td>
<td>Congruent</td>
<td>11-Nov-2016</td>
<td>Default</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Additional Approval Information

- IRES IRB Link
- Animal Protocol Congruency
- IRB Congruency

- HRPP  Human Research Protection Program
- IRB   Internal Review Board
- JIT   Just in Time
- IACUC Institutional Animal Care and Use Committee
- ORA   Office of Research Administration
- OSP   Office of Sponsored Projects Administration
The **Linkages** tab contains direct links to related proposals that either preceded or followed the record.

- Examples: a Resubmission or a Competing Continuation
- Use the **Open** icon to view related proposal record/s
The Communications tab displays a log of emails sent by OSP to PIs and departments.

- Emails can only be sent by those with edit access, e.g. OSP staff.
- Emails sent from within PT are logged on the Communication tab.
- Emails can be sent with PT record attachments.
- Notes related to the PT record, (e.g., status updates regarding the sponsor, reviewer, dept , PI, or other offices within Yale), can be captured in the Communications log.
- Communications are listed by date with the most recent at the top.
- Click the Attachments or Detail icons to view the communications.
The **Activity Log** tab is used to track workflow and actionable items. 

- Activity items are documented to indicate specific actions required and a timeframe for completion.
- The Activity Log is not sortable, but Open activities will always appear at the top.
- View the Activity Type Quick Guide for a list of Activity Type descriptions.

Make Note: the Activity tab always displays (0) even when there are items in that tab.
Which of the following statements are false? Select all that apply.

A. The Activity Log tab always displays (0) because there are never any items in this tab.

B. The Activity Log and the Communications tabs allow you to track the various stages and progress of the award.

C. When viewing an award where Dr. Smith is the PI, clicking the Linkages tab will display links to all the awards where Dr. Smith is the PI.

D. Protocols associated with an award can be monitored using the Approvals tab.
Which of the following statements are false? Select all that apply.

A. The Activity Log tab always displays (0) because there are never any items in this tab.

B. The Activity Log and the Communications tabs allow you to track the various stages and progress of the award.

C. When viewing an award where Dr. Smith is the PI, clicking the Linkages tab will display links to all the awards where Dr. Smith is the PI.

D. Protocols associated with an award can be monitored using the Approvals tab.

The correct answers are: **A and C**  The Activity Log tab always displays zero even when there are items in the tab. The Linkages tab contains direct links to related proposals that preceded or followed the record.
Tips for Tracking an Award in IRES

When tracking the status of an award, the following tabs are key to finding information.

- Activity Log, Agreements, Attachments, and Communications tabs

- **The Activity Log tab provides an overview of the various stages of the award**

- **The list of activities is not sortable, but open activities will always be at the top of the list**

- **The Activity Log tab** shows everything logged to and from someone within that record.

For example:

- When a NOA comes in and is sent to the Award Manager for review, it’s logged.

- When the terms and conditions have been reviewed then sent to the Award Setup Unit (ASU) and it’s logged.

- The ASU sets up the Awards tab and goes through compliance checks. If something is missing (training, IACUC, HRPP, etc.), the log will show the award is on hold, what we’re waiting for, what action needs to be taken, and who needs to complete the action (the PI, dept or OSP). The item will remain in Open status until the hold is resolved.

- Once ASU has everything needed, they will close the Hold in the Activity Log tab, then open an email in the Communications tab, and send an email to the accountant that the award is ready for setup.
The Agreements tab:
- Is primarily used by Contract Managers and Clinical Trial Managers. Award Managers may use this tab if an agreement terms and conditions need to be negotiated before the agreement can be signed.
- The Agreement Conditions and the Agreement Comments fields are where the managers will record notes regarding the status of the agreement (in negotiation Yale, approved, fully executed, etc.).
- There is an Agreements tab for each child record, however, ALL agreements for the award are uploaded to the parent record only.
- Click the open icon of an agreement in the summary list to view:
  - The status progression of the agreement and subaward agreement details.
  - Comments detailing what the clinical trial manager was doing and when.
  - Dates as the agreement progresses from In Development through Fully Executed.
  - Clicking the history icon displays details of exactly what transpired at each step.

Attachments tab
- Click the General tab to view all the attachments, but if not found check the Root folder; attachments are sometimes uploaded to the Root folder by accident.
- Click the ‘Last Updated’ column header to sort by date and bring the most recent attachments to the top of the column.

The Communications tab
- Going through the communications is another way of tracking the progress of the award and often provides additional insight as to the status of the award.
- Viewing the information in the Communications tab along with the Activity Log helps users to piece together the background information and progress of the award.
An IRES record documents all stages of an award or contract.

– Supplemental financial information can be found in Workday.

– Viewing information in both the Communications tab along with the Activity Log helps users to piece together background information and can provide additional insight as to the status of the award.

Learning where to find the information you need takes practice navigating the various tabs in the IRES environment.

– Each IRES user uses IRES differently depending on their job responsibilities

– Learning to locate information you need is quicker than emailing someone and waiting for a response.
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

- IRES Quick Guide #22: Activity Type
  https://your.yale.edu/sites/default/files/qg_22_activity_type_descriptions.pdf

- OSP Contacts: find your OSP Proposal Manager, Award Manager, Award Setup Coordinator, Accountant, Contact Manager, Subaward Specialist, GCAT email:
  https://your.yale.edu/policies-procedures/other/osp-portfolio-contacts-departments

- 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

- Request IRES User Access form
  https://its.yale.edu/ires-departmental-user-access-request-form
Questions?

Email any questions to: osp.trainings@yale.edu
You will receive a response within 2 business days.