

## e-IAF FAQs

Q. If the PI has a problem with the form after it's submitted, what should I do?

A. Contact the CGO for the PI's department (or alternate responsible department if one was chosen). You may change the form if it has been Saved, but only the CGO can make changes once it has been Submitted.

Q. How do I search for a Saved form?

A. By the title.

Q. How do I view a Saved form?

A. To view a saved form, go to the "Select saved project to retrieve..." field located at the top of the e-IAF screen. The saved forms are listed in alphabetical order by title. Once you locate the form you want, choose it by a mouse click and then execute the "Get" button.

Q. If the PI is the one who created the e-IAF, who may add the attachments?

A. An email to add attachments and certify the form will be sent to the creator of the e-IAF, in this case it will be the PI. If someone other than the PI created the form, the email will go to that individual and they may add attachments before the PI certifies.

Q. If the PI is on vacation, how many reminder e-mails will be sent? Will it fill up their in-box?

A. One reminder is sent after 6 hours. Note that the CGOs will have access to reports enabling them to monitor e-IAFs in progress.

Q. How is the budget section completed for fixed price awards, including clinical trials?

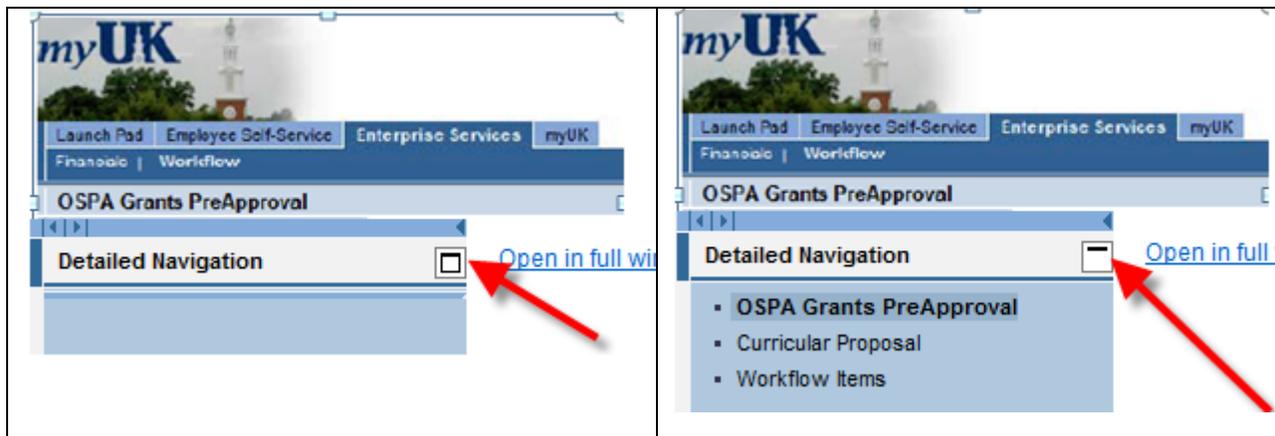
A. For fixed price agreements, including clinical trial agreements, enter \$1 in the sponsor column and attach the fixed price budget form to the workflow.

Q. Can the COI form be attached to the workflow?

A. You may send a paper copy of the COI disclosure form to the Associate Dean or you may attach a signed pdf version. If your college has a preferred method, follow their recommendation. Remember, once the form is attached, it may be viewed by each subsequent person in the workflow. Within the coming year, the financial disclosure will become an electronic process.

Q. I cannot see "workflow items" as an option under Enterprise Services, Workflow.

A. The "tray" may be collapsed. (first screen shot) "Expand tray" by executing the black line in the small white box to view workflow items. (second screen shot) See red arrows below.



Q. "Manage Attachments" did not bring up a browse menu.

A. Check your computer for pop-up blocker. Change to allow pop-ups.

Q. How will the department business officer review the budget?

A. You may use the Save option. The creator of the e-IAF should Save, rather than Submit, the form initially. The business officer may then retrieve the Saved form and make changes to items, including the budget. The department should develop standardized procedures for the creator and the business officer to coordinate by email or phone their process for review and approval.

Q. What if the department business officer wants to review the e-IAF and the attachments?

A. The business officer will be the creator of the e-IAF in this situation. Once the form is submitted, an email is sent to the creator to verify information on the form and add attachments. The business officer will do a final review of the e-IAF and attach the budget, budget justification, abstract, sponsor guidelines limiting F&A, and approval letters (e.g. IRB, IACUC). After this is done and the creator verifies the form, the next workflow is to the PI for certification. Only the CGO can make a change to the e-IAF once it's been submitted.

Q. Will e-IAF work with FireFox or Internet Explorer?

A. Yes. However, only FireFox versions 3.5 or lower will work.

Q. Will you be able to certify or approve by using your iPhone, Blackberry or any other electronic phone device?

A. Not at this point in time. Separate software must be in place to allow this functionality and this will be in a future phase. In the meantime, as long as the person has internet capability using a laptop they will be able to certify or approve as appropriate through the myUK portal.

Q. Are there any differences for Mac users?

A. We know of the following differences:

- If you open another window to view the form or add attachments, you will need to use the "X" icon in the top right hand corner to return to the previous screen. You won't lose any information by doing this process.
- Excel file attachments: You may have to save before you can open the file. You receive the request, open or save, but if you choose open, it may default to save.
- Word file attachments: Should be able to open directly from the workflow.

Q. The College of Engineering has a separate email address. How will this work with email notification?

A. The College of Engineering's IT has provided instructions about how to have email forwarded to the Engineering email address. You may contact your Senior College Grants Officer, Jason Hardin, if you have any questions.

Q. Will e-mails include the form number?

A. Yes. It is referred to as the notification number.

Q. What if a Co-I is not a UK employee?

A. The form is only for UK personnel.

Q. What if I don't want to attach a budget with salary information through work-flow?

A. Contact your ADR's office for possible alternate ways to submit this information.

Q. Does the person certifying always receive a reminder e-mail?

A. Yes

Q. Do you need to wait 24 hours for a reminder e-mail before you certify as a delegate?

A. No. Once the delegate has 'taken over', the delegate at any time can choose to Work On Items on Behalf Of option on workflow. Once this option is chosen, any workflow items waiting on review and approval in the Chair/Director/ADR workflow will now appear in the delegate's workflow items.

Q. United States Department of Agriculture isn't listed in the drop down list of sponsors.

A. It's listed as "US Department of Agriculture." Federal sponsors do not have "United States" or "US" preceding their name except for US Department of Agriculture and US Geological Survey. However, state sponsors are preceded by "KY."

Q. Who notifies the CGO when an e-IAF has been created?

A. The system does this automatically.

Q. When will paper forms no longer be accepted?

A. The electronic approval form only will be required as of November 1, 2011.

Q. Do e-IAFs have to be fully routed prior to proposal submission?

A. This is the long-standing policy. In the near future it will be enforced.

Q. Can the Notification number be used to bring up the e-IAF once it's fully routed?

A. Yes.

Q. Do all faculty on a grant have to certify the form?

A. Yes with the exception of NIH's designation of other significant contributor with no specified measurable effort.

Q. How long do I have to certify the form?

A. A reminder will be sent after 6 hours if not certified. PIs and Co-Is must certify before the e-IAF will route to the next level. Chairs, Center Directors and ADRs will receive a 6 hour reminder and, if not approved within 24 hours, the e-IAF will automatically go to their delegate.

Q. Do non-faculty project directors and senior personnel have to certify the form too?

A. Yes if listed a Co-I.

Q. Are delegates designated for specific periods or perpetually?

A. It can be done either way but typically delegates will be "turned on" for specific periods, i.e. during vacations, conferences, etc.

Q. Is the previous account number (WBS element) required on the e-IAF if this is an NIH non-competing renewal?

A. Yes.

Q. What if the sponsor is Department of Energy, for instance, but our award comes from the University of Illinois via a subaward—who is the sponsor?

A. University of Illinois

Q. What if the sponsor pays less than full F&A? What do we list as the source of funds?

A. List "N/A." Unrecovered F&A does not require a cost center to be listed. Remember to attach the sponsor policy.

Q. Must attachments be in a particular format?

A. PDF format is recommended due to the variety of web browsers being used on campus.

Q. How are delegates notified? Do they have to wait for notification?

A. After 24 hours the delegate is automatically notified via e-mail if no action has been taken. The delegate may, however, go to Manage Substitution Rules and 'takeover' for the task owner (Chair/Director/ADR). Once this has been executed, the delegate may choose the radio button on the workflow main page to Work On: Items on Behalf of Chair/Director/ADR.

Q. Can the e-IAF be printed?

A. Yes, display the form and then print or save to pdf.

Q. Are e-IAFs saved in perpetuity in the system?

A. They will likely be saved for a year after submission. A saved e-IAF can be retrieved by the Notification number and used as a template for a continuation project.

Q. When can attachments be added to the form?

A. Once the e-IAF has been submitted, an email is sent to the individual who created the form in order for attachments to be added. Once the attachments are added, the PI will receive an email to start the certification process. If the PI is the individual who initially created the e-IAF, no separate email will be sent. Anyone in the subsequent workflow can add attachments. You can only delete the attachments you add – not attachments added by other people.

Q. What documents should I attach to the form?

A. 1) the project abstract; 2) the detailed budget; 3) the budget justification; 4) the program announcement if there are any sponsor-imposed limitation on Facilities and Administrative Costs or if there is required cost share; 5) documentation of third-party cost-share commitments if applicable; and 6) IRB or IACUC certification if applicable and available.

Q. Is the E-IAF routing process separate from the proposal routing process?

A. Yes. It needs to be clear that the e-IAF process is not a proposal submission system. The e-IAF process is only routing the internal approval form. OSPA does not want the proposal attached.

Q. Will there be an email sent to the department letting them know that the form has been received by OSPA?

A. Once the e-IAF process has been completed, the PI and OSPA will receive an email that the process has been completed.

Q. Where can I find instructions for preparing the form?

A. On the OSPA website <http://www.research.uky.edu/ospa/forms.html>

Q. Should attachments be uploaded as separate files or combined into one attachment?

A. Attachments should be uploaded separately. Attach only those items necessary for review – such as the budget, budget justification, abstract, any sponsor guidelines that confirm limitations such as F&A or salary and IRB/IACUC approval letters if appropriate. Do not attach the full proposal.

Q. Must IRB approval be addressed on the e-IAF and should the approval letter be attached?

A. If the use of Human Subjects is checked "yes", either indicate "Pending" or complete the Date Approved and IRB # fields and attach the approval letter.

Q. How will the form be routed for PI's who have multiple appointments?

A. Routing will be to the PI's prime department unless an alternate responsible unit is indicated. It is critically important that the correct responsible unit for the project be identified at this stage. It will determine the

electronic routing flow for the form. If the incorrect unit is selected, then the correct approvals may not be obtained before the proposal is submitted. If funded, this also determines the responsible unit for the account management.

Q. Do both the number and unit name appear in the dropdown box in the enrichment section?

A. Yes.

Q. What if we have several Co-Investigators and one is on vacation?

A. Reminders are sent after 6 hours. PIs and Co-Is must certify their own e-IAF. This cannot be delegated.

Q. What if the chair or ADR is on vacation and without internet access?

A. They can delegate their approval authority. This can be immediately activated or it will default to the delegate after 24 hours of inactivity.