

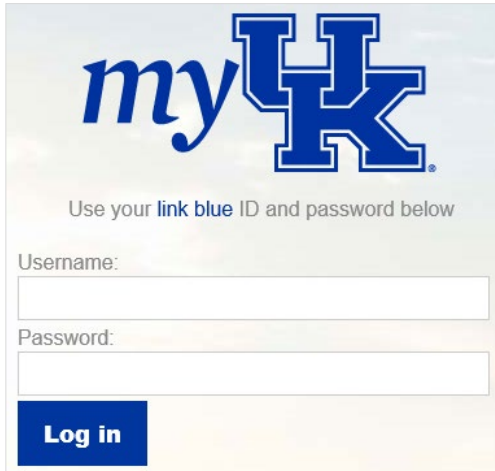
Instructions for Completing the eIAF in myUK

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Part I: Navigation

To access go to: <https://myuk.uky.edu/irj/portal>. Log in with your Link Blue username and password.

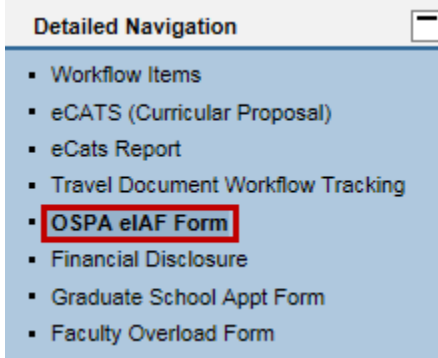


The image shows the myUK login page. At the top is the myUK logo. Below it, the text reads "Use your link blue ID and password below". There are two input fields: "Username:" and "Password:". Below the password field is a blue "Log in" button.

Go to the [Enterprise Services](#) tab; then go to the [Workflow](#) tab (just below the tabs).







On the left in the Detailed Navigation section execute the [OSPA eIAF Form](#).




You are now on the Internal Approval Overview screen.

From here you can:


- ❖ Create a new eIAF form by executing the  icon,
- ❖ Search for saved and submitted eIAF forms with the  icon, or
- ❖ Certify/Approve eIAF form from the  icon.
- ❖ Note: If you have nothing waiting for certification/approval you will not have an  icon.

Part II: Creating a New eIAF Form

To create a new eIAF form execute the  icon. You will now be on the eIAF form; all fields marked with an asterisk (*) are required.

1. General

- **Principal Investigator*** This is the one individual who is primarily responsible for the project. If a sponsor allows more than one PI, this is the Contact PI. NOTE: Only a full-time regular employee of the university may be a PI. When a faculty member is sponsoring a fellowship/dissertation grant, the mentor is listed as the PI.


- You can enter the Person ID of the PI if you know it, otherwise execute the search icon  just to the right of the blank field—this search box will open.

Last name	is	
First name	is	
Person ID	is	
Employee/App'l.Name	is	
<input type="button" value="Search"/> <input type="button" value="Clear Entries"/> <input type="button" value="Reset to Default"/>		

- You will have the search options above but most will search by last name. Just enter your search criteria and press Enter or execute the search icon and the results will appear. Select the correct person by executing that line and their Person ID will populate on the form; press Enter to populate the name and the associated responsible department.

- **Co-Investigator(s)**
 - Select the **Include Co-I** icon to add a Co-I. Search as listed above. All UK faculty involved in the project will be included on the IAF as *Co-Investigator*. They may be listed in the key/senior personnel section of a proposal or in the proposal Budget and/or the Budget Justification with no measurable effort.

- **Alternate Department (optional)**


- Use this field if the PI's responsible department is anything other than the one listed.
- *If the unit primarily responsible for this proposal is other than the prime department of the PI, specify the alternate unit by choosing the department code from the drop-down list. For example, if a Center will have fiscal and administrative responsibility for the project rather than the PI's academic department. NOTE: Failure to indicate the appropriate alternate responsible unit will result in the grant account being established in the PI's prime department. To correct this will require establishing a new account number.*
- You can enter the PI's responsible department if you know it, otherwise execute the search icon  just to the right of the blank field—this search box will open.

Valid to	is later than or on	03-16-2017
Valid From	is earlier than or on	03-16-2017
Department	is	
Department Name	is	
<input checked="" type="checkbox"/> Maximum Number of Results: <input type="text" value="500"/>		
<input type="button" value="Search"/> <input type="button" value="Clear Entries"/> <input type="button" value="Reset to Default"/>		

- **Title of Project***

- Enter the title of the project in the blank field.

- **Physical Location***

- Execute the search icon  just to the right of the blank field—this search box will open.

Speed Sort	is	
Physical Location	is	
<input checked="" type="checkbox"/> Maximum Number of Results: <input type="text" value="500"/>		
<input type="button" value="Search"/> <input type="button" value="Clear Entries"/> <input type="button" value="Reset to Default"/>		

- If the location is not in the list, select the **Other Physical Location (not found in list)** to enter it.

- **Sponsoring Agency***

- Execute the selection arrow to choose the sponsoring agency from the list. Generally, the full name of the sponsor appears rather than an acronym. For example, National Institutes of Health is on the list, NIH is not. Type

the first letter of the sponsor and you will jump to that place in the list. If the sponsor is not listed, select "Other" at the very end of the list. Another box will appear in which to enter the new sponsor name.

- **Sponsor Agency Deadline*** Include the date the proposal is due to the sponsoring agency and whether it is a postmark, receipt, or electronic deadline. You may type in the date or choose from the calendar. Note: U.S. mail can be delivered to a Post Office box, but courier service packages cannot.
 - Execute the selection arrow to choose the sponsoring agency deadline.

- **Proposal Is***

New: A proposal submitted for first time

Competing Renewal: A continuing segment of the same project.

Non-competing Renewal/Continuation: A segment of an existing project; please include a current UK account number. State projects on the off year are considered non-competing.

Supplemental: Additional funds for an existing project, i.e. NSF-REU. Please include a current UK account number.

Response to RFP /RFQ: Specific solicitation or announcement for proposals. If this option is selected, a field will appear in which to enter the RFP or RFQ number.

- Execute the selection arrow to choose the proposal type from the list.



- **Activity Is***

- Execute the selection arrow to choose the activity type from the list.

Choose the primary or predominant functional nature of the project from the list. When certain functions are chosen, a second field will appear which will require a more specific designation. Note: The nature of the activity corresponds to the Facilities and Administrative (F&A) rate to be applied to the proposal.

"Research" includes basic, applied and clinical and is defined as a systematic investigation designed to develop or contribute to generalizable knowledge.

"Instruction/Training" is defined as the teaching and training activities of an institution whether they are offered for credits toward a degree or certificate or on a non-credit basis.

"Public Service" is defined as programs that primarily benefit the community through the training of or service to a non-university constituency.

"Multipurpose/Other" is anything which does not fit comfortably into any other category. If this is chosen another box will appear in which to provide further information.

- To move to the next section, execute the icon.

2. **Budget**

Enter only amounts requested from the sponsor.

Total Project Period & Total Project Request: Enter dates and funds for all proposed years.

Proposal Budget Summary: This is an abbreviated format of the detailed budget in the proposal. The first column summarizes the total funds for all years being requested from the sponsor. In this abbreviated format, "Personnel," "Travel," "Equipment", etc. are listed on separate lines. "Other Direct Costs" includes those direct costs not already included in categories already detailed out (previously listed).

If full costs (direct AND full Facilities and Administrative costs) are being paid by the Sponsor, only the *Sponsor* column will be completed. When the University is cost sharing by contributing resources (i.e., salary, unrecovered F&A costs) the *University* column will also be completed.

- **Total Project Period**
 - Enter the project to and from dates and total request amount.
- **Proposal Budget Summary**
 - Fill in the categories as appropriate on the budget summary.
 - Indicate any cost share in the University column; if requesting less than full F&A indicate the difference in the University column. Fill in the University Expense section for any amounts listed in the University column.

Cost sharing or matching means the portion of project costs not borne by the funding agency. All cost sharing included in the proposal is recorded on the appropriate line in the center "*University*" column.

Cost sharing policy: <https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-50-2.pdf>.


Below the budget lines there is box in which to explain the need for a university contribution as well as a box in which to record the source of the cost share dollars (i.e., department or college account). Please attach sponsor guidelines which address the cost-sharing requirement. Also attached commitment letters from Third-Party cost share sources, when applicable.

If there is a limit on Facilities and Administrative costs, please attach a copy of the sponsor's published policy addressing the limitation.


The form will calculate the Total column.


Note: If the proposed project award is anticipated to be a fixed-price award, check 'is this fixed price?' box and a new budget form will appear. Enter the budget information in the projected budget column. If a residual is expected, enter the information in the Fixed Price section to the right. If all costs are not charged to Attach a "Fixed-Price Agreement Budget Form" with Column A completed as a pdf document. The form is found here <http://www.uky.edu/eForms/forms/fixprice.pdf>

- Pressing Enter or execute the total icon will give totals.
- The following box will be displayed for the proposal budget.

Proposal Budget Summary				University Expense
 Total				* Explain why you are not requesting the sponsor to cover the full cost of the project:
Type	Sponsor	University	Total	Attach commitment letters if applicable. If the sponsor will not pay full Facilities & Administrative costs attach a copy of their written policy. * Indicate the specific source of any University funds to be used to conduct this project: <input type="radio"/> Cost Center <input type="radio"/> Other
Personnel				
Travel				
Equipment				
Tuition				
Patient Care				
Rent				
Subaward(s)				
Other Direct Costs				
Facilities & Administrative				
Total				

- If the project will be funded by a fixed-price award, check the **Is this fixed-price?** box. The following boxes will open. Fill in the categories as appropriate.

Proposal Budget Summary			Fixed Price
 Total			Projected Program Support Residual Balance: <input type="text"/>
Type	Projected Budget	University	Explain Reason for Residual: <input type="text"/>
Personnel - PI			
Personnel - Other Faculty			
Personnel - Technician			
Personnel - Nurse			
Personnel - Other			
Research Subject Reimbursement			
Patient Care Costs			
Equipment			
Travel			
Supplies			
Other Direct Costs			
Facilities & Administrative Costs			
Total			Total Funding From Sponsor: <input type="text"/>

- Press Enter or execute the  Total icon for the totals.

3. Enrichment Award

- This section is populated with the PIs responsible department and any Co-I(s) department(s) number(s). Enter the appropriate percentages.
- A responsible department with a zero percent allocation can be included on the eIAF. The eIAF would route to the department with the zero allocation for certification/appro

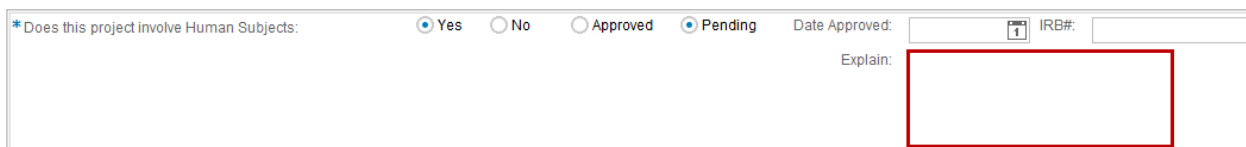
Enrichment Award		
*Department/Unit	Department Description	Percent Allocation
000001	DEPARTMENT OF BIOLOGICAL SCIENCES	100.00
000002	DEPARTMENT OF CHEMISTRY	0.00
	Total	100.00

A portion of the Facilities and Administrative cost (F&A) income that is actually received in a fiscal year is returned to the project's participating units. Indicate in this section the proportion of the total to be allocated to each department or center/institute. Percentages should reflect the relative contributions (investigator time, facilities, etc.) of each unit involved. Select department/unit and fill in the percentage that that unit should receive. You may divide among more than five departments by hitting the "Add line" button. Percentages entered must total 100%. For additional detail visit: <https://www.research.uky.edu/internal-research-support-programs/research-enrichment-program>

- To move to the next section, execute the  icon.

4. **Project Information***

- Project Information
 - Answer yes/no to all the following project information questions.
 - Does this project involve Human Subjects?
 - Does this project involve Animal Subjects?
 - Does this project involve Biohazards/rDNA?
 - Does this project involve Radioactive Mat/Radiation?
 - Will this project require purchase of additional equipment?
 - Does this project require Additional University Space?
 - Will any part of the project be conducted in non-University facilities?
 - Does this project require alterations or renovations of existing facilities?
 - Does this project require faculty or staff overload?
 - Does this project require subrecipient or outside consultants?
 - Is this project subject to Export Control Regulations, and/or does the research involve potential military application (i.e. funded by DoD, NASA)?
 - Will the sponsor or the government need to approve: a) the publication of your research results and/or b) the involvement of foreign nationals on the project?
 - Is this proposal a Multi-PI submission? If so, enter linkblue (separated by comma if multiple) in explanation box.
 - Is this proposal related to a consortium membership? If so, please identify the consortium.
 - Does the sponsor require payment of a research project award assessment (or similar) if awarded? Please attach a letter from the responsible unit specifying commitment to pay the assessment.
 - Did you receive services, assistance or support from the Center for Clinical and Translational Science (CCTS) in developing this proposal?
 - If prompted for additional information, complete the required fields.
For example, if the IRB is pending indicate if the IRB application has been submitted for review, or if an IRB meeting is scheduled and the date, etc.



Provide the most recent approval date for use of human subjects. Human Subject approvals are valid for one year. If the protocol has been submitted for approval but has not completed the process, indicate "pending." For more information, refer to www.research.uky.edu/ori/.

Provide the most recent approval date for use of animals (IACUC approval). IACUC approvals are valid for three years, with annual reviews provided. If the protocol has been submitted for approval but has not completed the process, indicate "pending." For more information, refer to: www.research.uky.edu/ori/.

Provide the most recent approval date for use of biohazards. For Biosafety hazards approvals are person-specific and are valid for three years. If an application has been submitted for approval but has not completed the process, indicate "pending." For more information, refer to: ehs.uky.edu/biosafety/.

Provide the most recent approval date for use of radioactive materials/radiation. Use of radioactive materials approvals are person-specific and are good for five years. If an application has been submitted for approval but has not completed the process, indicate "pending." For more information refer to ehs.uky.edu/radiation/welcome.html.

Will this project require any of the following:

Purchase of Additional Equipment: Federal regulation A-110 requires universities to "avoid purchasing unnecessary items." A scan of current University inventory contributes to meeting this requirement. You may need to work with your department's administrative staff to complete the required screening via eBARS.

For more information: <https://myuk.uky.edu/zAPPS/ebars/>

Additional University Space: Information provided for chair/dean planning. Please enter further information in the box provided.

If non-university facilities will be used, contact your College Grants Officer (CGO) or OSPA Research Administrator (RA) to discuss use of the appropriate Facilities and Administrative rate. Enter further information in the box provided. Please note that ASTeCC is considered to be an on-campus facility.

The current University policy on application of On/Off-Campus Facilities and Administrative Cost Rates is at this link: <https://www.uky.edu/ufs/sites/www.uky.edu.ufs/files/bpm/E-50-1.pdf>

Alterations and Renovations: Information provided for chair/dean planning. Please enter further information in the box provided.

Overload: Refer to Administrative Regulations (AR) 3:9 for guidance on policy and preparing a justification. Link: <https://www.uky.edu/regs/ar3-9> Please enter further information in the box provided.

Subrecipient or Outside Consultants: If a non-UK individual or organization is expected to collaborate on and receive funds on this project select "yes." Note that it may be necessary to include additional documentation in the proposal. Contact your College Grants Officer (CGO) or OSPA Research Administrator (RA) for assistance. Enter further information in the box provided.

Center for Clinical and Translational Science Resources Information regarding this proposal will be shared with the CCTS if this question is answered "yes" for their planning purposes

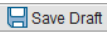
- To move to the next section, execute the icon.

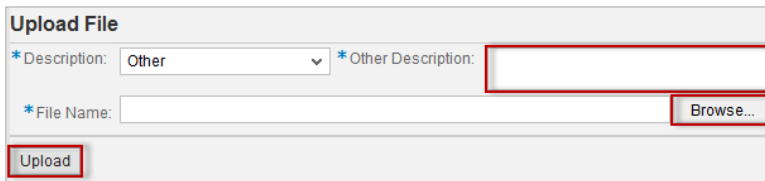
- **Keywords**

- Select the appropriate keywords from the list provided.
- List up to five key words that are not already contained in the title and then check off appropriate topical areas from the list provided. This information is used to identify the subject matter of funded activities.
- Select the **Other** **Other** box to include additional keywords. The following box will open.

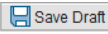
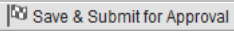


- **Attachments**

- The eIAF needs to be saved prior to attaching the documents.
- Execute the  icon at the top to create the eIAF number.
- Upload attachments on the right of the form. Use the dropdown to select the required files that are applicable. Select the **Other** icon to upload file(s) not on the list. Name each attachment.






5. **Save & Submit for Approval**

- Execute the  icon to create the eIAF number. You can retrieve later for completion/changes.
- Execute the  icon to submit the eIAF for approval. This will move the eIAF from your workflow to the next person for certification/approval.

Part III: Certifying/Approving eIAF

Option 1: Retrieving eIAF from OSPA eIAF Form link (Preferred Method)

1. Execute the New OSPA eIAF **OSPA eIAF Form** link
2. If you have an "action item", that is, a form requiring your certification/approval, you will have an **Action Required** icon on your Internal Approval Overview page.
3. Execute the **Action Required** icon and any item(s) waiting for you will be listed.
4. Execute the process icon and you will be taken to the form for your certification/approval.

Process	IAF#	Principal Investigator
	004000000	XXXXXXXXXX
	XXXXXXXXXX	XXXXXXXXXX
	XXXXXXXXXX	XXXXXXXXXX


5. Proceed to the Review and Certifying/Approving the eIAF section.

Option 2: Retrieving eIAF from Workflow

1. Execute the eIAF link in workflow


Subject
XXXXXXXXXX
Approval Role
XXXXXXXXXX
Primary CGO Approval for eIAF # 4000000

2. Execute Process eIAF

Attachments:			
Type	Title	Created On	Created By
	OSPA eIAF Workflow C: 004000000		
Process eIAF			

3. Once you execute **Process eIAF** the Internal Approval Form will appear.
4. Proceed to the Review and Certifying/Approving the eIAF section.


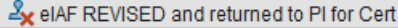

Review and Certifying/Approving the eIAF


1. Review the criteria based on your certification role.
2. Execute the glasses icon  to view the attachments.
3. The Workflow section, on the right, shows the completed workflow steps.

Completed Workflow Steps					
Step	Agent	Decision	Comment	Created	Completed
XXXXXX	XXXXXXXXXX	Certified		XXXXXXXXXX	XXXXXXXXXX
Primary CGO Review	XXXXXXXXXX	Reviewed		XXXXXXXXXX	XXXXXXXXXX
Principal Investigator Certification on Submit	XXXXXXXXXX	Certified		XXXXXXXXXX	XXXXXXXXXX

4. The Current Agents section, just above, shows who currently has the form for certification/approval. Also, any delegates are listed here indicated by an X in the Is Substitute column.

Current Agents					
ID	Status	User Name	Complete Name	Is Substitute	Agent ID
XXXXXXXXXX	SELECTED	XXXXXXXXXX	XXXXXXXXXX		XXXXXXXXXX
XXXXXXXXXX	SELECTED	XXXXXXXXXX	XXXXXXXXXX	X	XXXXXXXXXX

- After your review is complete and everything looks okay, execute the review  icon near the top of the form, below the word “Internal Approval Form” you will find the certification/approval icon appropriate for your role, that is, PI, Co-I, ADR, Center Director, etc.
- If the eIAF needs to be revised, execute the  icon to return the eIAF to the PI for certification. The following comment box will display. Indicate the reason the eIAF is being rejected for modification. Execute the submit  icon. For example, the enrichments needs to be adjusted during the routing.

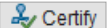


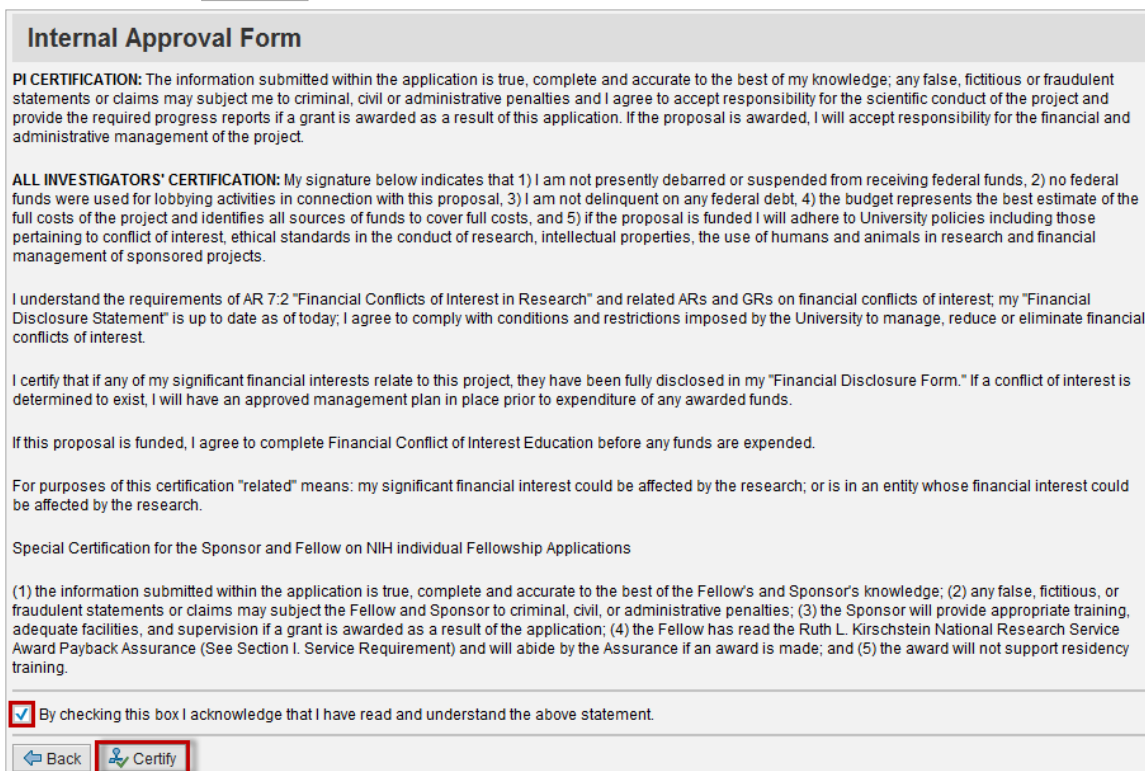
Comment

Please explain

*Maximum 250 Characters:

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- The PIs and Co-Is will be asked that they have read and agree to the certification language—if so check the box. Then execute the  icon.



Internal Approval Form

PI CERTIFICATION: The information submitted within the application is true, complete and accurate to the best of my knowledge; any false, fictitious or fraudulent statements or claims may subject me to criminal, civil or administrative penalties and I agree to accept responsibility for the scientific conduct of the project and provide the required progress reports if a grant is awarded as a result of this application. If the proposal is awarded, I will accept responsibility for the financial and administrative management of the project.

ALL INVESTIGATORS' CERTIFICATION: My signature below indicates that 1) I am not presently debarred or suspended from receiving federal funds, 2) no federal funds were used for lobbying activities in connection with this proposal, 3) I am not delinquent on any federal debt, 4) the budget represents the best estimate of the full costs of the project and identifies all sources of funds to cover full costs, and 5) if the proposal is funded I will adhere to University policies including those pertaining to conflict of interest, ethical standards in the conduct of research, intellectual properties, the use of humans and animals in research and financial management of sponsored projects.

I understand the requirements of AR 7:2 "Financial Conflicts of Interest in Research" and related ARs and GRs on financial conflicts of interest; my "Financial Disclosure Statement" is up to date as of today; I agree to comply with conditions and restrictions imposed by the University to manage, reduce or eliminate financial conflicts of interest.

I certify that if any of my significant financial interests relate to this project, they have been fully disclosed in my "Financial Disclosure Form." If a conflict of interest is determined to exist, I will have an approved management plan in place prior to expenditure of any awarded funds.


If this proposal is funded, I agree to complete Financial Conflict of Interest Education before any funds are expended.



For purposes of this certification "related" means: my significant financial interest could be affected by the research; or is in an entity whose financial interest could be affected by the research.

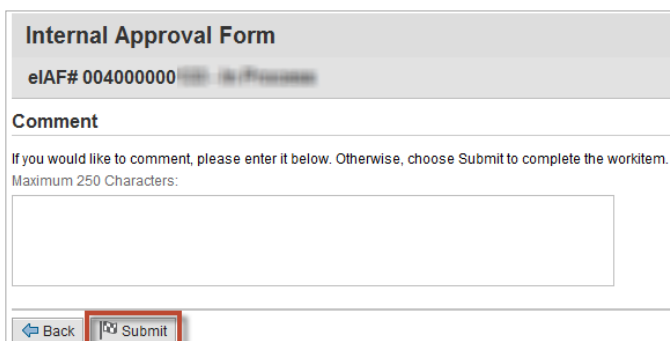
Special Certification for the Sponsor and Fellow on NIH individual Fellowship Applications

(1) the information submitted within the application is true, complete and accurate to the best of the Fellow's and Sponsor's knowledge; (2) any false, fictitious, or fraudulent statements or claims may subject the Fellow and Sponsor to criminal, civil, or administrative penalties; (3) the Sponsor will provide appropriate training, adequate facilities, and supervision if a grant is awarded as a result of the application; (4) the Fellow has read the Ruth L. Kirschstein National Research Service Award Payback Assurance (See Section I. Service Requirement) and will abide by the Assurance if an award is made; and (5) the award will not support residency training.

By checking this box I acknowledge that I have read and understand the above statement.

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- You will be given a comment box (optional) and a  submit icon. Please execute the submit  icon as this as the final step of the certification/approval of the IAF.




Internal Approval Form


eIAF# 004000000 0000 00/00/0000

Comment


If you would like to comment, please enter it below. Otherwise, choose Submit to complete the workitem.

Maximum 250 Characters:


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 Once all these steps are complete, the form will move to the next person to review, certify/approve.

Part IV: Searching for a New eIAF Form

1. Go to the Internal Approval Overview page and execute the  icon.

You can search by:

- eIAF number (for submitted forms)
 - Status (Approved, Rejected, In Process, Cancelled and Draft)
 - Created By (the creator of the form)
 - PI
 - Department
 - Sponsor
 - Physical location
 - Deadline dates
2. Once your search criteria is entered, execute the search  Search icon and the results will appear at the bottom.
 - Select the form number and you will be taken to the form.