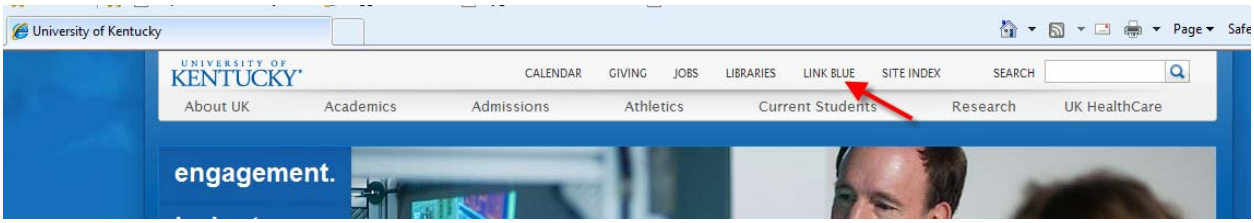
INSTRUCTIONS FOR THE eIAF

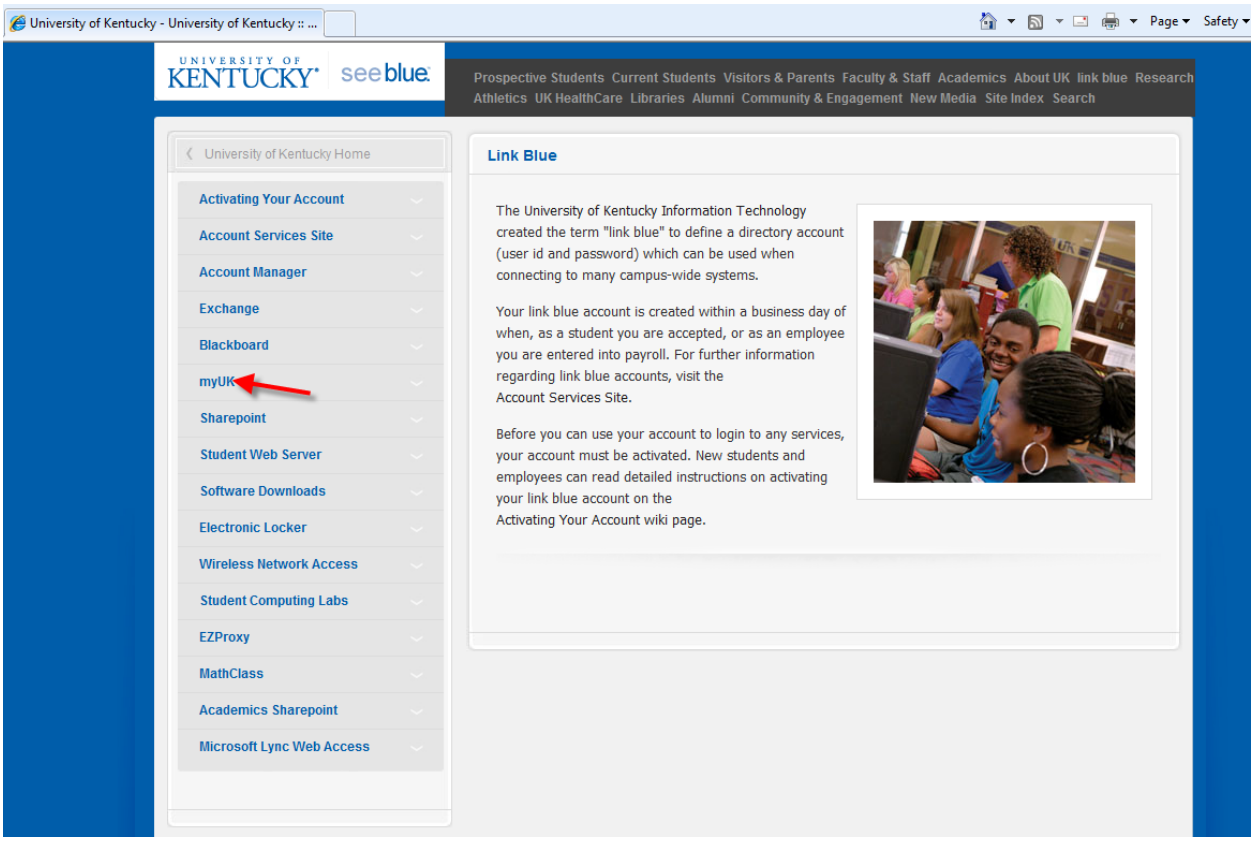
COMPLETING THE FORM AND REQUIRED APPROVALS AND CERTIFICATIONS

ACCESSING A NEW BLANK FORM

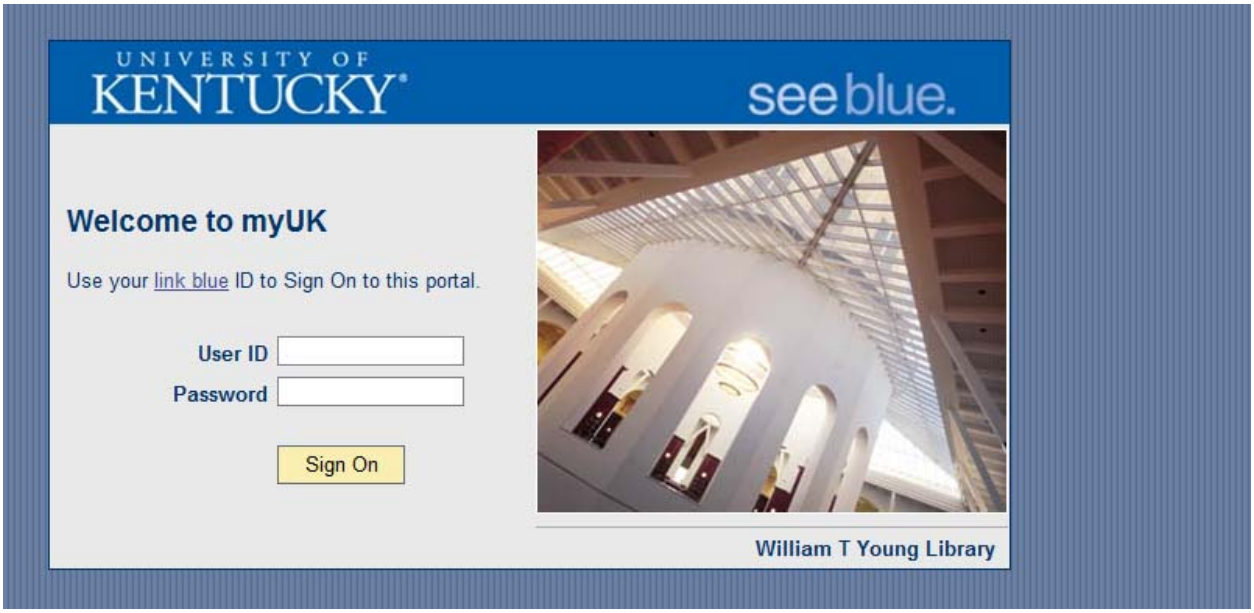
From the UK website, click on “link blue.” (Click refers to pressing the mouse button.)



At this screen, left click on “myUK.”



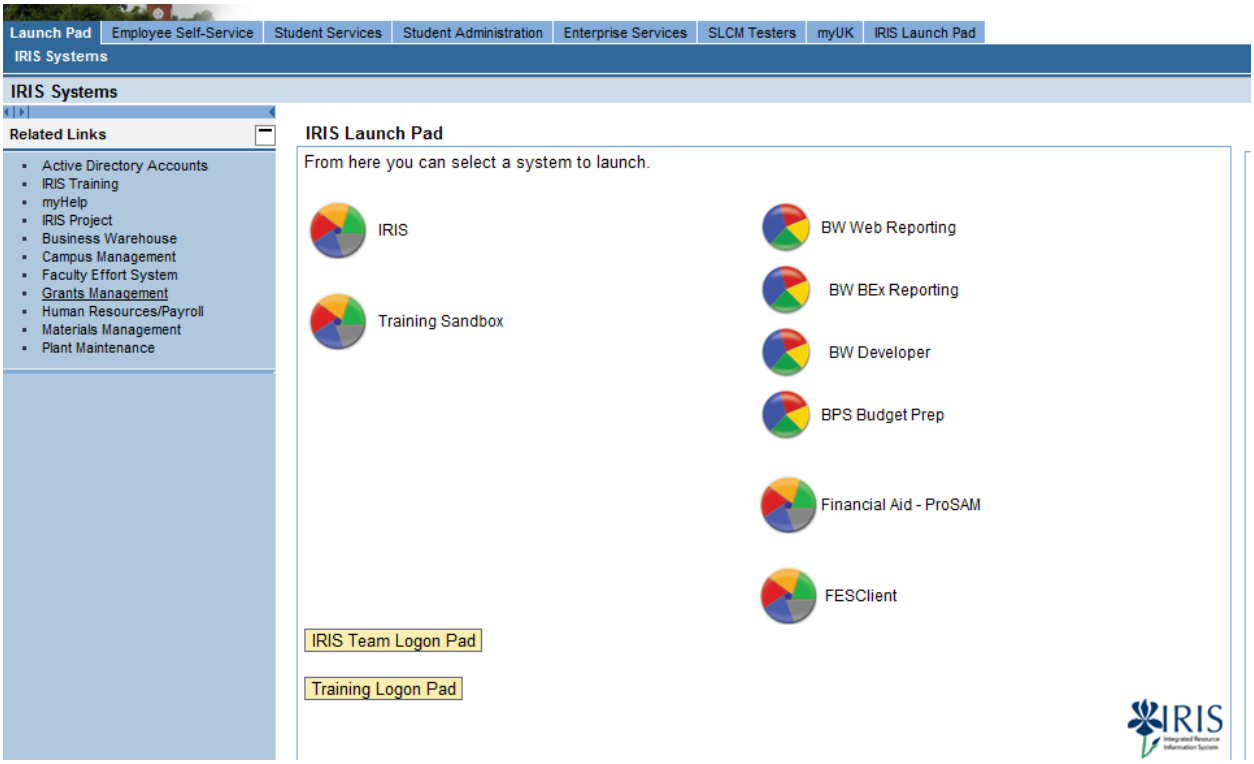
The following screen will then appear:



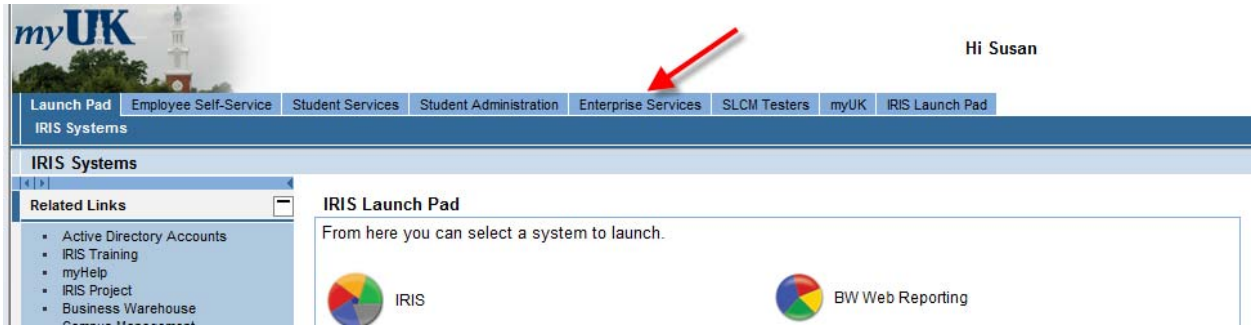
In the "User ID" field, enter your UK link Blue id/alias. (Refer to the APPENDIX if you don't know your alias.) In the Password field, enter your Password. (Refer to the APPENDIX if you don't know your password.)

Then, left click on the "Sign On" button.

You will then see this screen – although you may see fewer tabs across the top and fewer beach balls on the screen.



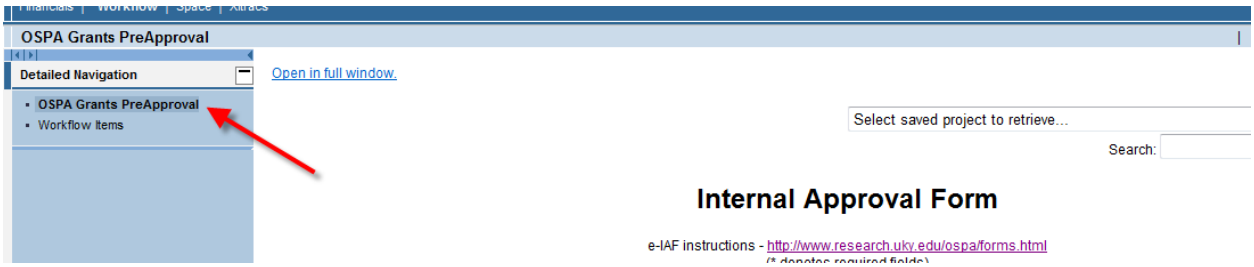
You are specifically looking for the tab, “Enterprise Services.”



Left click on the “Enterprise Services” tab.

Once you've chosen "Enterprise Services," most users will need now to choose "Workflow" to bring up the OSPA Grants PreApproval menu. Left-click on the "Workflow" menu item.

At this screen, depending on your level of access, you may also need to left click on the "OSPA Grants PreApproval" option at the left to get to the entry screen for a new Internal Approval Form to appear.



You should now be able to see a blank Internal Approval Form (IAF) – the only item filled in will be the UK link Blue id/alias of the person who's logged in -- this person's id will appear in the Principal Investigator field.

FILLING OUT A BLANK FORM

This form is essentially requesting the same information as the paper IAF with which you're familiar, with a couple of additions and with the information requested in a slightly different order.

Those fields with an asterisk are mandatory and you will not be able to submit the form with these items left blank.

Help is available for specific sections by clicking on the at the far right of each section.

You should complete the form in the order the items are presented. You can, however, use the scroll bar at the far right to go up and down on the page / on your screen.

As you finish each field, hit tab to go to the next field for entry. You can also move your cursor to the beginning of the next field you would like to complete.

This form does not have to be fully completed in one sitting. Once you have entered the "Title of Project" field, it may be saved and retrieved later by you or anyone else. Directions for doing this appear on page 15 of these instructions.

The form may be prepared by the Principal Investigator or any other individual with myUK access on the PI's behalf.

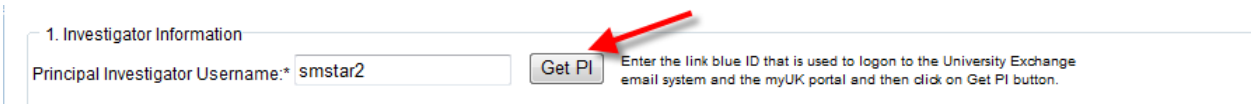
Section 1. Investigator Information

If your cursor has not done so automatically, position it at the beginning of the Principal Investigator Username field –

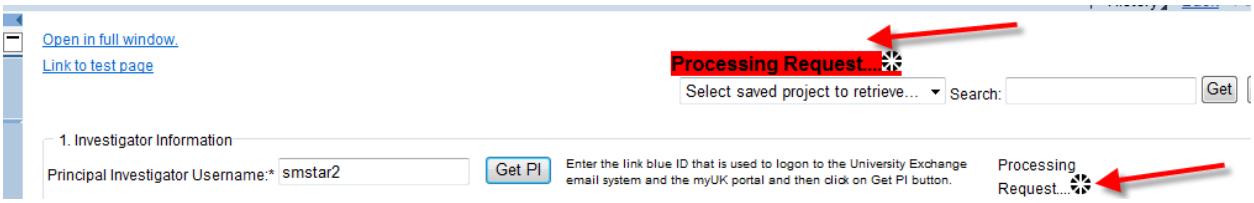
Enter the PI's UK link Blue id/alias. This is a REQUIRED field.

If the PI's UK link Blue id/alias already appears, there is no need to re-enter it.

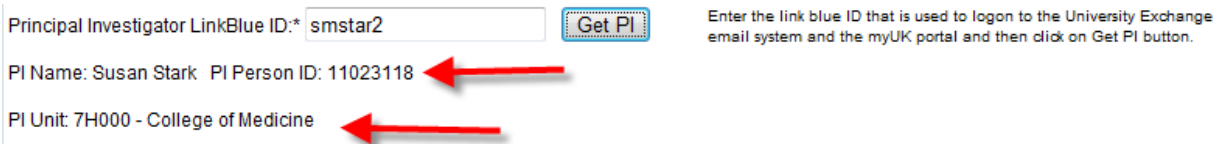
Then, click the "Get PI" button.



You'll see a red Processing Request statement at the top of the screen and two wheels that spin to show that this task is running. Wait until this disappears to go to the next step.

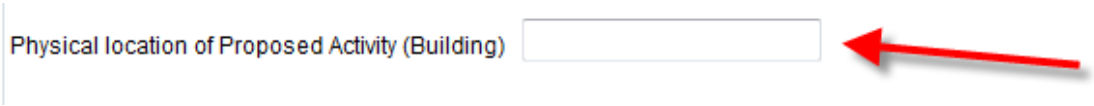


This has added some information to the form behind the scenes – the only resulting change you will see on your screen is the addition of the PI Person ID, the PI name, the Unit (department) number and name.

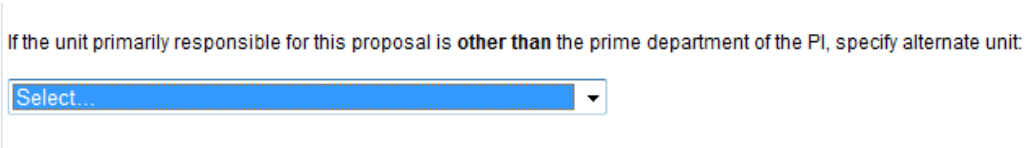


If this unit will not be the responsible unit for this project, there will be an opportunity to select an alternate responsible unit later in the form.

Enter the Physical location of the proposed activity. Write this as a text field, not a building number.



If another unit will be responsible for the administration of this project if the grant/sponsored funding is received, indicate that here by selecting the alternate unit from the drop down list.

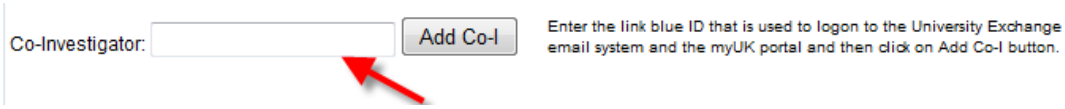


These appear in numerical order by department/unit number. If you are not certain of this information, check with your department/unit administrator or CGO.

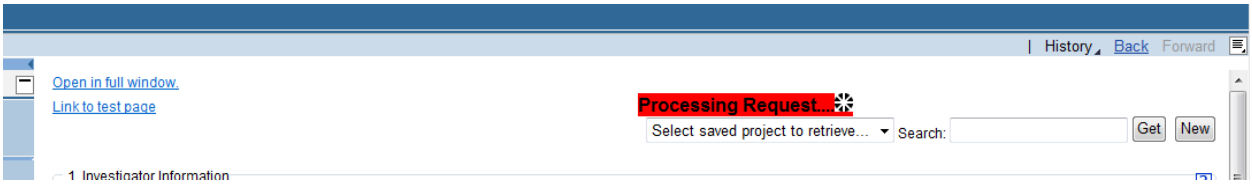
It is critically important that the correct responsible unit for the project be identified at this stage. It will determine the electronic routing flow for the form. If the incorrect unit is selected, then the correct approvals may not be obtained before the proposal is submitted. If funded, this also determines the responsible unit for the account management. It is extremely difficult to change this at a future date.

Co-Investigators can now be added. You will need to know the UK link Blue ID for each. (See APPENDIX if you don't how to find this.)

Enter the UK User ID for the first Co-Investigator. Then, click "Add Co-I."

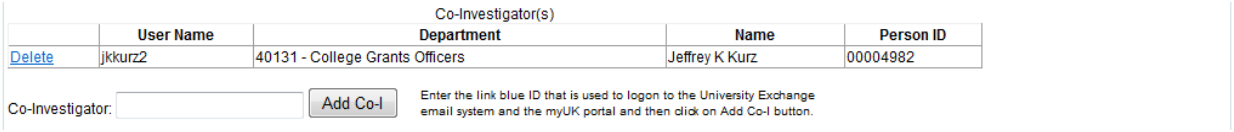


You will see the same red Processing Request statement at the top of the screen \ and spinning wheels to show the request is running.



Do not attempt further entry until the red statement has disappeared.

Once processing is completed, you will see the following has been filled in for the Co-Investigator :



You may add additional Co-I's following these same steps for each. If an error is made, click the "Delete" option to the left of his/her User Name.

Remember to wait for the red Processing Request statement to disappear before going to the next step.

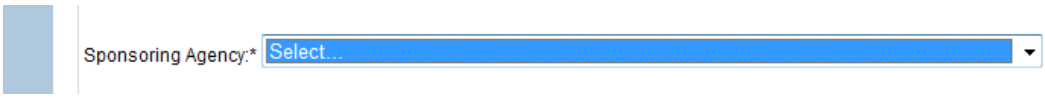
Section 2. Project Information

Enter the title of the project in this field: This is a REQUIRED field.

This should match what appears on the proposal itself.

Select the sponsoring agency from the drop down box. This is a REQUIRED field.

These appear in alphabetical order. You can also click twice on the drop down arrow on the right, and the field will be highlighted in blue.



You can then type in the alpha characters at the beginning of your sponsor's name, and it will go to that spot in the overall sponsor list, to save some time scrolling through the entire list.

Be as specific as possible. In most cases, acronyms are not used. Kentucky state agencies appear with a KY at the beginning.

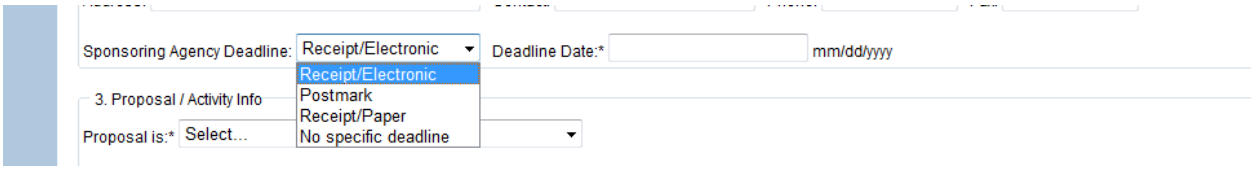
The final option in the list is "Other" and should only be used if the sponsor does not appear. When you select "Other," you'll see the red Processing Request and wheels again – when they disappear, you'll see another field appear, "Other Sponsoring Agency."

Type in the sponsor name in this field.

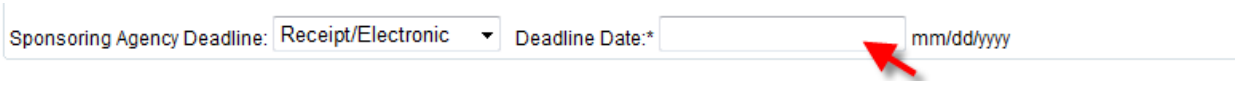
Complete the remaining information requested about the sponsor.

Address should be city, state, zip, and/or email. Phone and fax should include the area code.

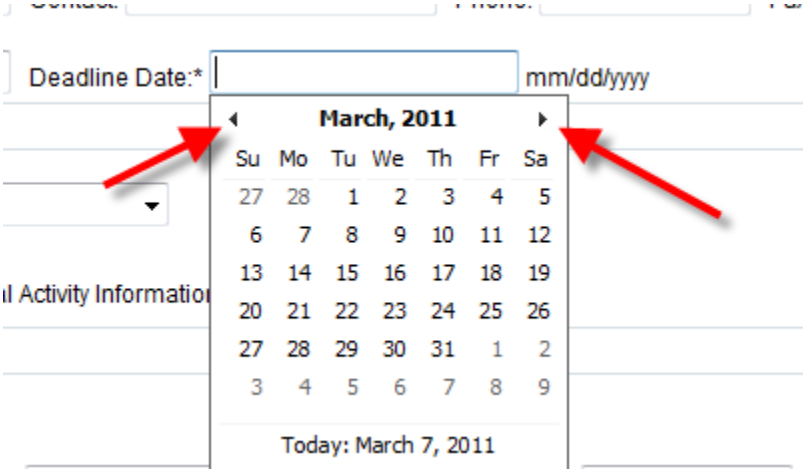
From the drop down box, select the appropriate option for the type of deadline.



And, insert the deadline date in the format MM/DD/YYYY. This is a REQUIRED field.



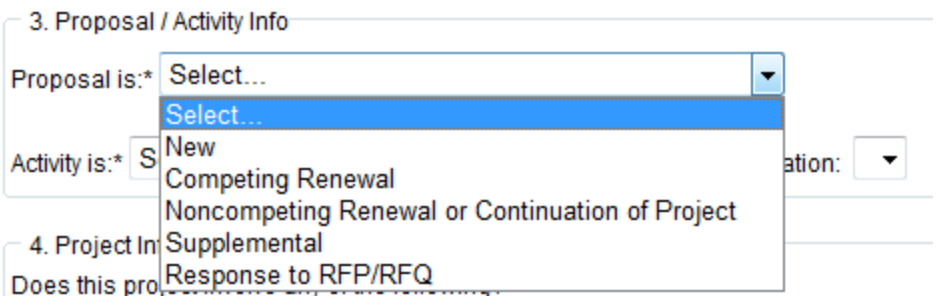
When clicking in this field, a calendar option appears which you can use to make the appropriate date selection. Use the left and right arrows as needed to find the correct date.



If you selected, “No specific deadline,” then enter “N/A” in the “Deadline Date” field.

Section 3. Proposal / Activity Info

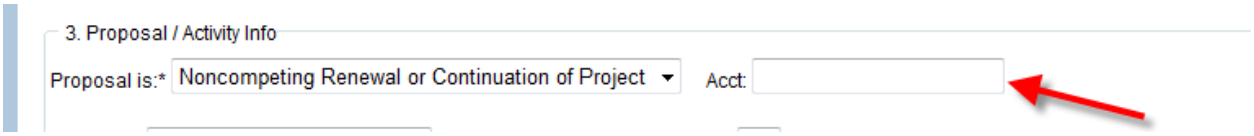
Five options appear in a drop down box for the next item to be entered, “Proposal is.” This is a REQUIRED selection.



Make your selection by clicking on the appropriate option.

Remember to refer to the on the right of the form for further assistance with this section.

If you select "Noncompeting Renewal or Continuation of Project," after the red Processing Request and spinning wheels have disappeared, another field will appear:

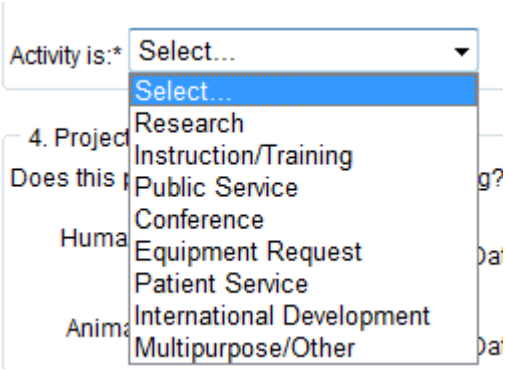


In the "Acct:" field, enter the 10-digit WBS element number (UK's grant account number) for the project that is being renewed/continued.

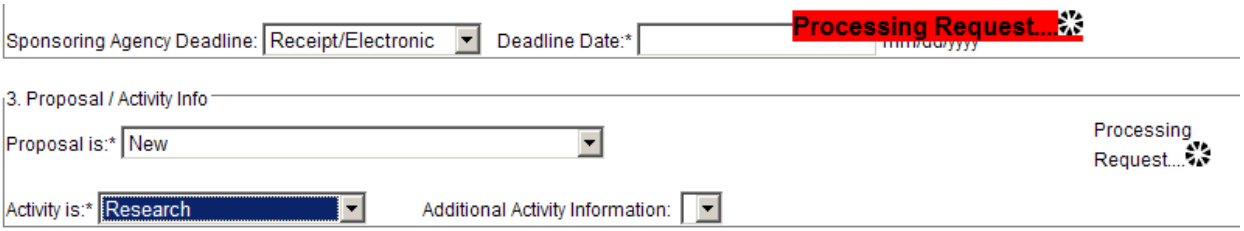
If you select "Response to RFP/RFQ," after the red Processing Request and turning wheels have disappeared, another field will appear:

Enter the RFP/RFQ number to which you are applying.

The next item also offers a drop down box with eight options to select from: This is a REQUIRED selection.

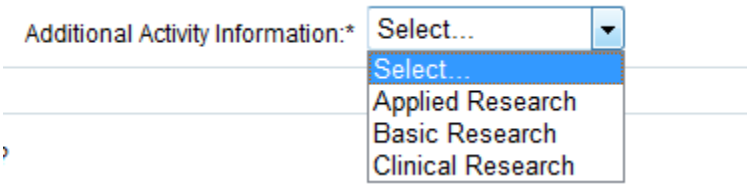


Click on the most appropriate activity type. Once you make a selection, you'll then see the red Processing Request statement and spinning wheels.

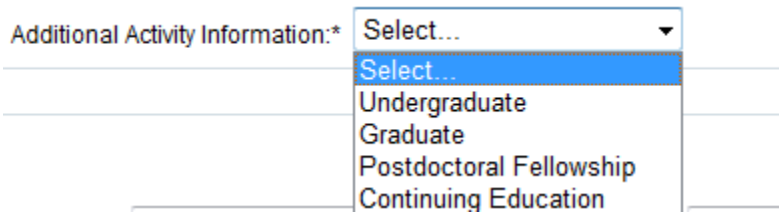


If you have selected the options "Research" or "Instruction/Training," a second drop box will appear to provide "Additional Activity Information." This is a REQUIRED selection.

For Research, you'll see:



And, for Instruction/Training, these options will appear:



Select the most appropriate designation for your project. Refer to the help for more information.

If you selected Research or Instruction/Training as "Activity is," then a response is required to the secondary question, "Additional Activity Information."

Section 4. Project Information

All the questions in this section must be answered. Any "yes" response requires the fields immediately following it to be completed also, or possibly an approval letter to be attached to the form. (For direction on attaching materials to the form, please see page 22 of these instructions.)

Dates must be provided in MM/DD/YYYY format. A calendar will appear to assist with this entry.

Refer to the for further details.

Affirmative responses to questions 2 through 5 require a short narrative explanation in the box to the right of the question.

Question 7. is new and has been added at the request of the Provost. UK would benefit from being able to determine the number, scope, and nature of projects that involve engaged research and application, meaning activity conducted with one or more partners not affiliated with UK or postsecondary education. Checking this box will allow review of projects involving such partner(s). In the text box identify the non-academic partner(s).

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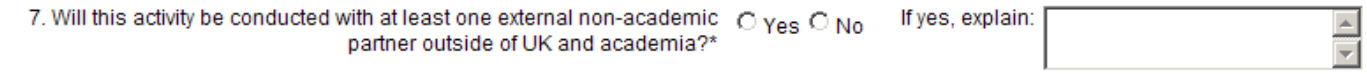


Section 5. Key Words

This section will assist in maintaining a database of projects based on subject area to assist faculty in finding collaborators with similar interests at the University. List five key words not contained in the title of the project and/or select any areas which describe it by clicking on the relevant boxes.

Section 6. Budget

In the Current Budget Period, From and To, note the first project period start and end dates, in MM/DD/YYYY format. Calendars will appear to assist with this entry. The current period request should include all funds requested from the sponsor for first budget/project period. Use whole dollar amounts only, no commas or decimal points, and no zeros for cents.

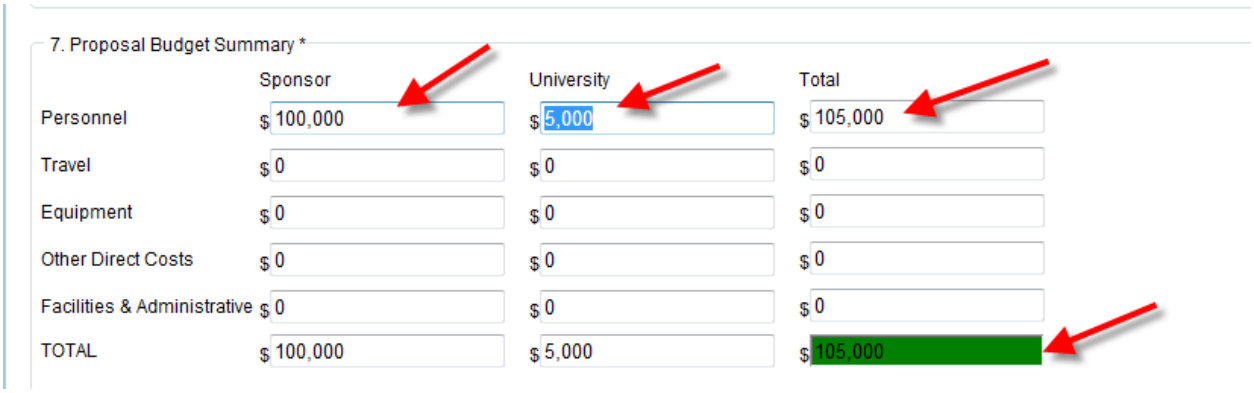
In the Total Project Period, From and To, note the complete project period start and end dates, in MM/DD/YYYY format. Calendars will appear to assist with this entry. Total period request should include all funds requested from the sponsor for the entire project period. Use whole dollar amounts only, no commas or decimal points, and no zeros for cents.

7. Proposal Budget Summary

This should be a summary of the entire budget to be submitted to the sponsor. Completion of this section is REQUIRED. Please note that a detailed budget will need to be attached before the IAF is routed to the PI's Chair for certification. Refer to the for further information.

In this section, enter figures in whole dollars only: no commas, no decimal points, no zeros for cents.

The cursor will first appear in the Sponsor column, Personnel line. As figures are entered, the lines will calculate and subtotal across and down, and – shaded in green – an overall total will calculate in the Total/TOTAL field.



Enter the total Personnel costs to be requested from the Sponsor. Press tab and the cursor will move to the University column. This column is for any cost shared costs – those not paid by the sponsor. Enter a figure as appropriate.

Since the line subtotals across automatically, when you press tab again, the cursor will move to the Sponsor column, Travel line.

Enter the appropriate figures in the remaining sections of the form.

You CANNOT enter figures in any of the row or column "total" fields. These calculate automatically and you should not attempt to change these.

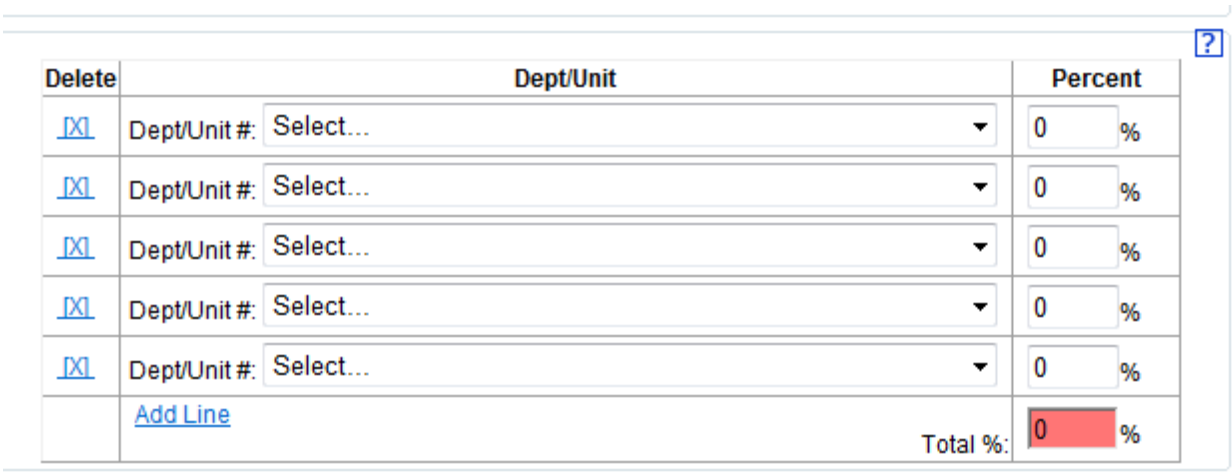
If any amount appears in the University column for "Personnel," "Travel," "Equipment," or "Other Direct Costs," you must provide a narrative explanation of the reason for the cost share in the field below the Budget Summary section and attach a copy of the sponsor's policy stating a cost share requirement.

Please note the next field also asks that you provide a specific source of the University funds to cover this cost share commitment. You should provide a departmental cost center or a department account number in this space. If you are unsure of the correct number, you should contact your Business Officer.

If the **only** field in the University column with an entry is "Facilities and Administrative," then you must provide an explanation of the reason for this in the field below the Budget Summary section and attach a copy of the sponsor's policy limiting F&A to an amount less than what is allowed per the University's federally-negotiated indirect cost rate agreement. Please then enter "N/A" in the next field asking for the specific source of the University funds to cover this cost share commitment.

8. Enrichment Award

To allocate any enrichment funds expected from the project if funded, provide the appropriate department/unit numbers and the percentage of the funds each should receive. These percentages will sum automatically, and should total 100%. You can enter figures using up to two decimal places.



Delete	Dept/Unit	Percent
[X]	Dept/Unit #: Select...	0 %
[X]	Dept/Unit #: Select...	0 %
[X]	Dept/Unit #: Select...	0 %
[X]	Dept/Unit #: Select...	0 %
[X]	Dept/Unit #: Select...	0 %
	Add Line Total %:	0 %

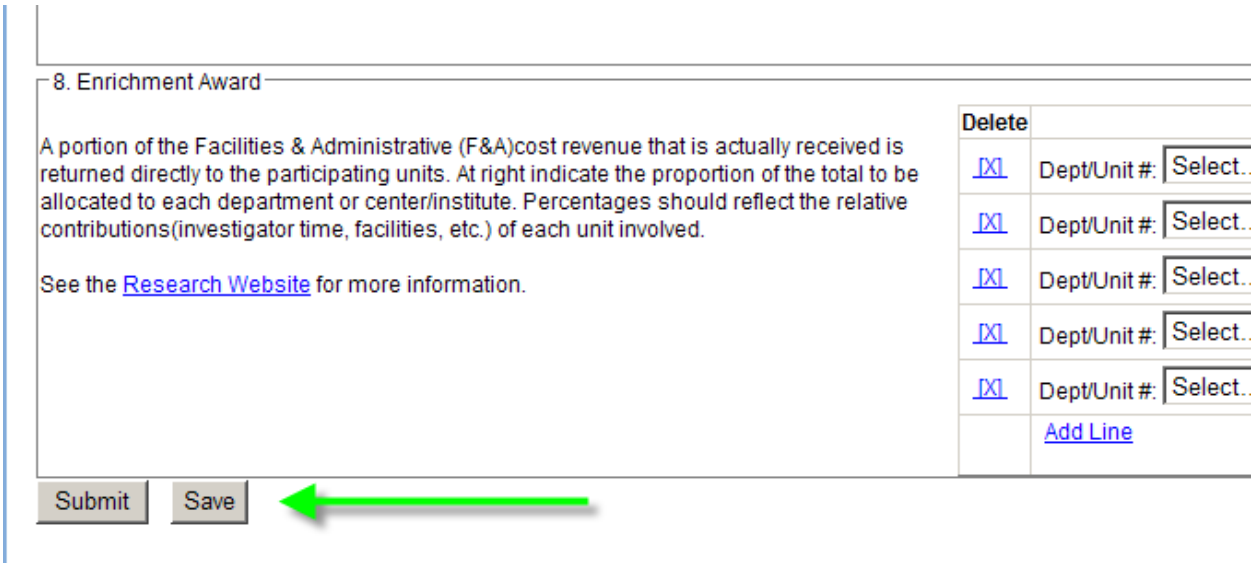
If you need to allocate the funds across more than 5 departments/units, click "Add Line" to enter another department/unit and its percentage of the allocation. You may add as many additional lines as needed.

SAVING AN INCOMPLETE INTERNAL APPROVAL FORM TO BE COMPLETED AND SUBMITTED LATER

At any point after filling in the "Title of Project" field, a partially-completed form may be saved for completion later or for completion by another person.

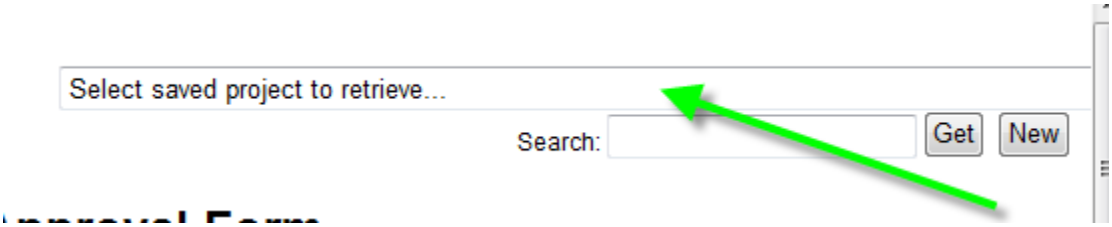
This "save" feature allows one person to begin an Internal Approval Form and another person to complete it or submit it. Only the title of the project is needed for anyone to bring up an unsubmitted Internal Approval Form and complete it.

To save, scroll to the bottom of the Internal Approval Form, and click on the “Save” button:

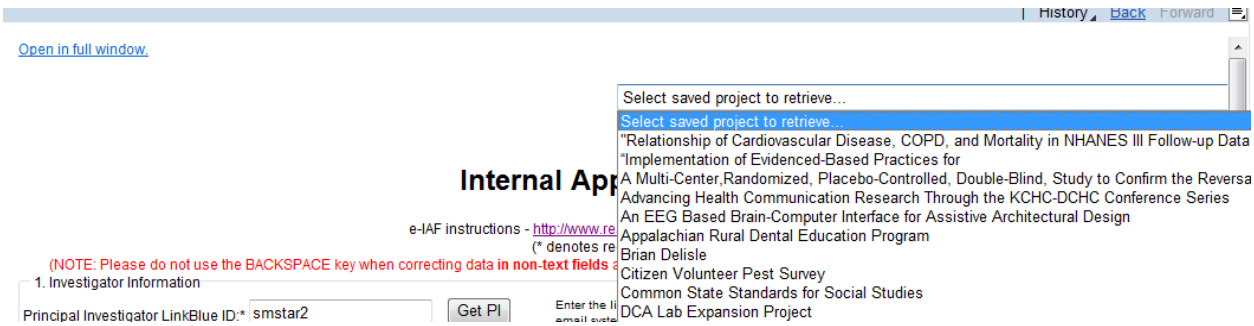


You may now either continue working on this form, or stop the process for resumption later.

In order to retrieve a saved form, upon next entering the system, follow instructions for ACCESSING A NEW BLANK FORM (see page 5). Once the new, blank form is displayed on the screen, go to the upper right-hand corner and find the drop down box marked, “Select saved project to retrieve.”



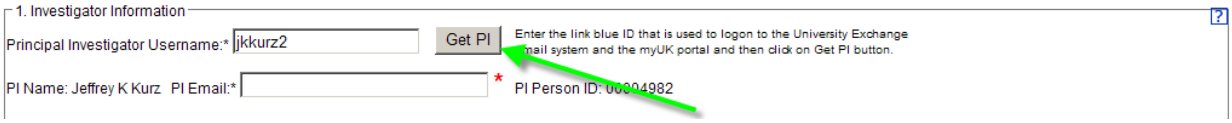
Left-clicking on the downward facing arrow in this box will bring up a list of the titles of all saved and unsubmitted forms (yours and others’ forms) from across the University. Note: once a form is successfully submitted, it disappears from this list of saved projects.



Highlight the title of the form you wish to retrieve and click the button marked “Get.”

After a pause for processing, the previously-saved Internal Approval Form will appear, and can be finished and submitted, or saved a second time for submission later.

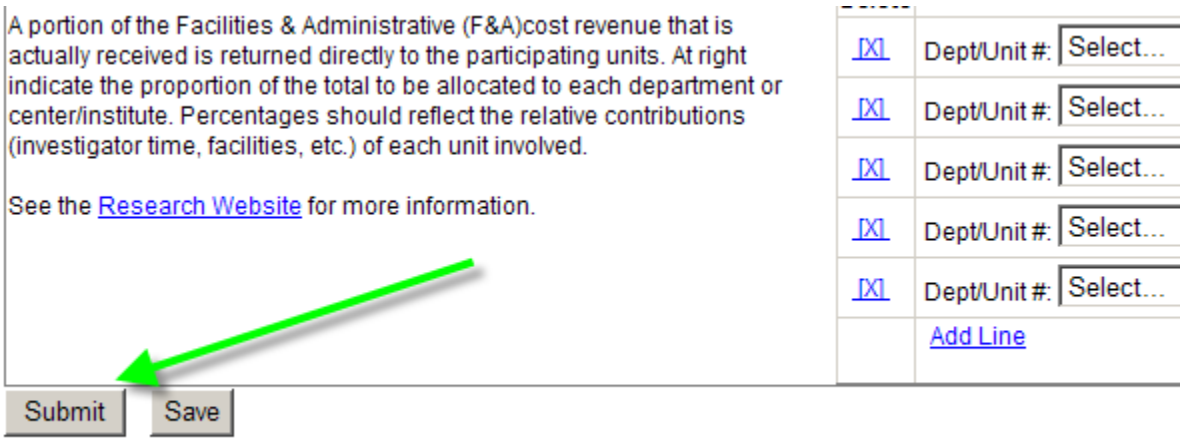
Each time a saved form is retrieved, the Get PI button must be pressed again—even if the “Get PI” button had been pressed before the form was saved, and the PI name appears at the top of the form. If this step is omitted, you will be reminded by an error message upon submission.



SUBMITTING A COMPLETED INTERNAL APPROVAL FORM

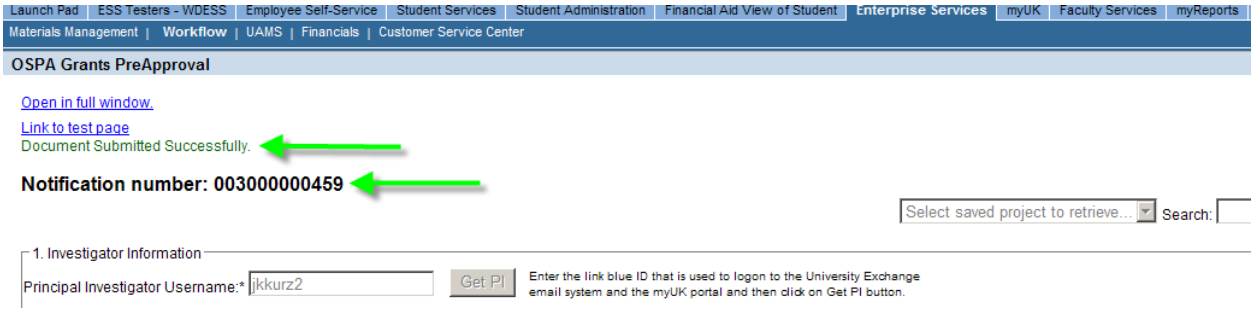
Once the Internal Approval is complete, the form must be submitted before the Principal Investigator may complete his or her certification and before any attachments (the proposal announcement, the budget, the budget justification, etc.) can be uploaded to accompany the form as it moves through the work flow approval process.

To submit, scroll to the bottom of the form. There you will find a button marked, “Submit.” The form may be submitted by the Principal Investigator or any individual so designated by the Principal Investigator with myUK access.



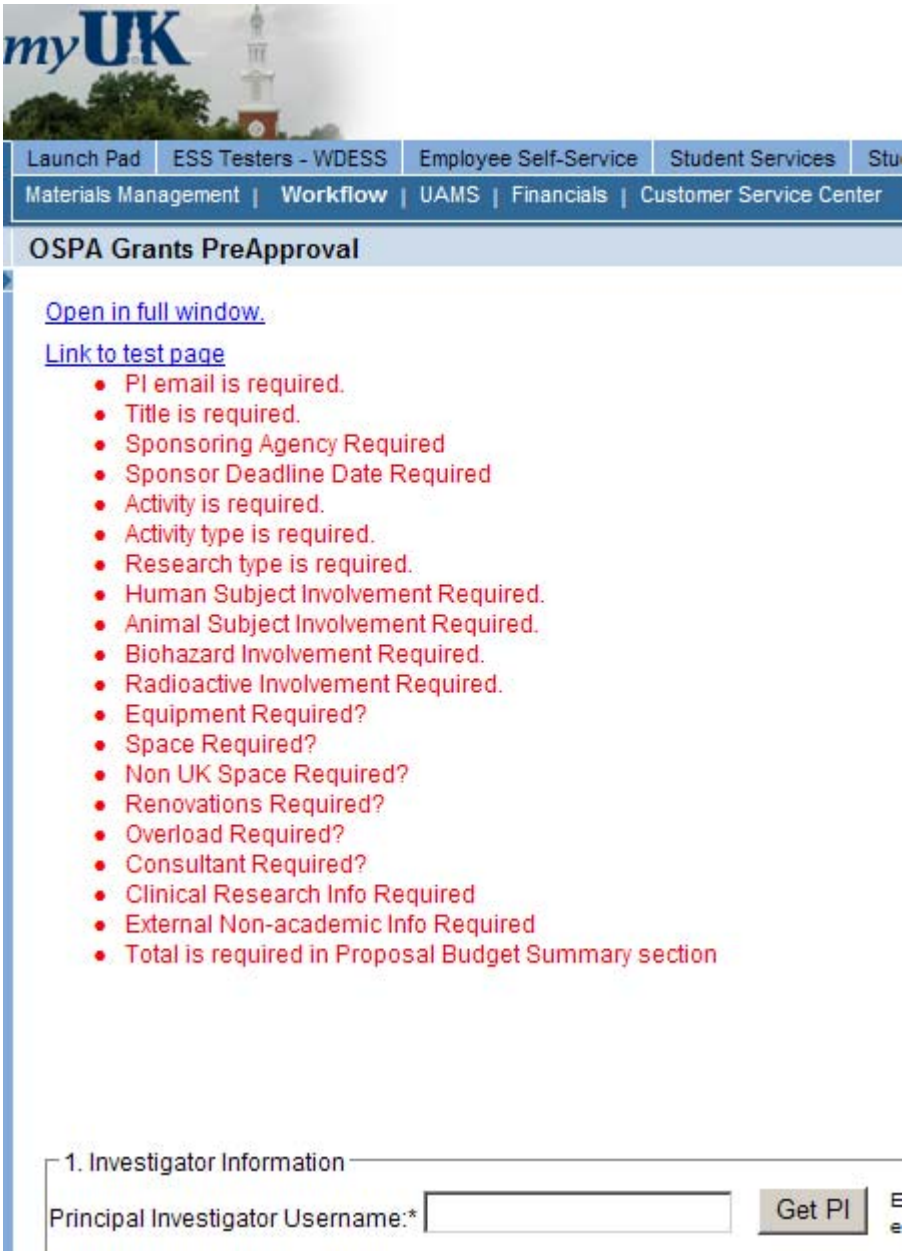
Clicking this button will cause the form to begin processing and one of two things will result: 1) the form will be successfully submitted and a Notification Number will be assigned to it; or 2) error messages will be generated to point out those fields on the form which are preventing successful submission.

If the form is submitted successfully, a message stating that and a Notification Number will appear at the **top** of the form:

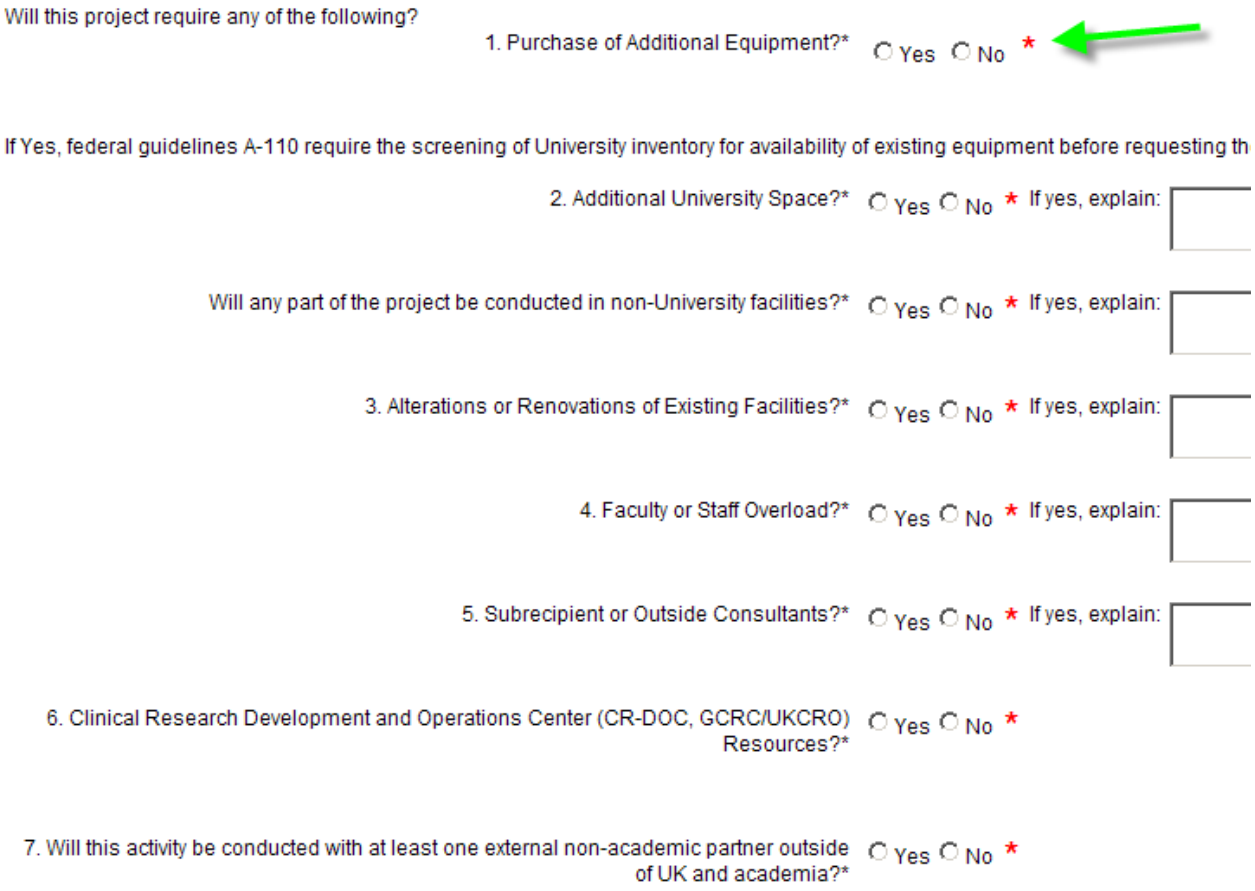


PLEASE KEEP THE NOTIFICATION NUMBER. This number will be essential for retrieving a copy of this submitted Internal Approval Form from the system later.

If the form is submitted unsuccessfully (for instance, a required field is left blank or the "Get PI" button had not been clicked), then all errors in the form will be enumerated at the top of the form, and the fields in the form corresponding to these errors will be marked with a red asterisk. Below are the error messages which appear when submitting a completely blank form; this illustrates the type of messages that may appear:

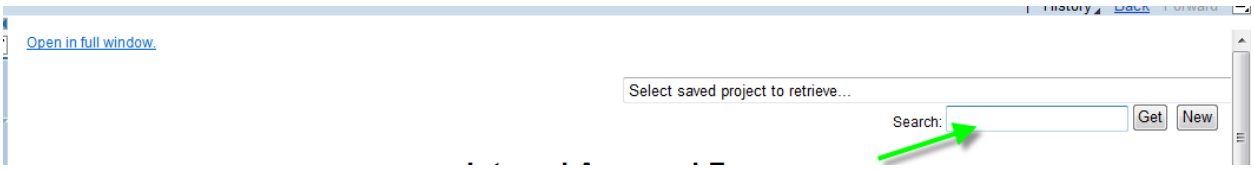


Each of these red error messages corresponds to a red asterisk which appears simultaneously within the form itself next to the field that requires attention. These red asterisks are larger than the black asterisks that denote a required field. For example, notice the red asterisks here next to these unanswered questions:



Our recommendation is to save the submitted Internal Approval Form locally as an Adobe/pdf file (via the print option available on your computer).

In order to retrieve a submitted Internal Approval Form, have your Notification Number ready. Open a new Internal Approval Form. Do not enter any of the fields in this new form, but do enter your Notification Number (including the two leading zeroes) in the box marked “Search” in the upper right-hand corner of the form:



After entering the Notification Number, then, left click the button marked “Get” just to the right of the search box. A “processing” icon will appear and then the Internal Approval Form associated with that Notification Number will populate the fields on the blank form.

This method of retrieval is only available to view a submitted form. No changes can be made to the form after it is submitted except by your CGO.

E-MAIL NOTIFICATIONS TO SIGNATORIES OF A SUBMITTED INTERNAL APPROVAL FORM

Once the Internal Approval Form is successfully submitted, an email notification goes out from “Batch User” to the University of Kentucky parties who are responsible for certifying or approving it. The first email will go to whomever submitted the form. It is important that you work with your IT department if emails sent to you about the Internal Approval Form are ending up in your Junk E-mail folder.

If the person submitting was the Principal Investigator, then this email will read:

Email notification – example of a PI notice

From: **Batch User** [mailto:wfbatch@email.uky.edu]
Sent: Sunday, June 26, 2011 3:43 PM
To: Hagan, Rhonda
Subject: Internal Approval Form -- action required

An Internal Approval Form titled 'Analysis of Algebra Problems' to Sponsoring Agency National Science Foundation by PI Rhonda C Hagan is waiting for you for review, addition of any needed attachments and certification/approval. The notification number associated with the e-IAF is 003000000940.

Attach the following documents under 'manage attachments' in workflow that apply to your submission.
- Budget
- Budget Justification
- Abstract
- Sponsor guidelines if cost sharing is required, salary or F&A is limited or any other sponsor restrictions
- IACUC and IRB approval letter, if applicable.

After logging into the 'myUK' portal, select the Enterprise Services tab, then the Workflow tab and finally the Workflow Items link on the left.

Click Here to Login to myUK (https://myUK.uky.edu/irj/portal).

For more detailed instructions about accessing the e-IAF through the myUK portal click on the following link: http://www.research.uky.edu/ospa/forms.html.

If you have any questions, please contact your College Grants Officer. If you have no CGO, contact your Research Administrator.

This email was produced from an automated process.
Do not reply to this email as this address is not monitored.

If another person submitted/created the eIAF, then the email will read as follows:

Email notification – example of a 'Creator' notice

From: **Batch User** [mailto:wfbatch@email.uky.edu]
Sent: Sunday, June 26, 2011 4:02 PM
To: Hagan, Rhonda
Subject: Internal Approval Form -- action required

An Internal Approval Form titled 'Analysis of Algebra Problems II' to Sponsoring Agency National Science Foundation has been submitted by Principal Investigator Deborah K Davis. The notification number for this e-IAF is 003000000924.

Attach the following documents under 'manage attachments' in workflow that apply to your submission.
Budget
Budget Justification
Abstract
Sponsor guidelines if cost sharing is required, salary or F&A is limited or any other sponsor restrictions
IACUC and IRB approval letter, if applicable

Click Here to Login to myUK (https://myUK.uky.edu/irj/portal).

After you have attached the applicable documents and verified data in workflow, workflow will then proceed to the PI for certification.

This email was produced from an automated process.
Do not reply to this email as this address is not monitored.

Because of the importance of the act of verifying, approving, and/or certifying this form, depending on the individual's role in the process, emails will be sent to remind the person being notified to respond to the directions printed in the email message.

The email to the PI will be sent immediately upon submission. If no action is taken, he/she will receive a reminder email 6 hours later. The process is the same for the Co-I(s).

Others needing to certify will receive an initial email when the work flow routes it to him/her for action. This person will also receive a reminder at 6 hours if it still has not been certified. If at 24 hours no action has been taken, the email will be sent to the individual's delegate for action.

Delegates are only a possible option for chairs, center directors, and ADRs. PIs and Co-Is cannot delegate their certification responsibility.

ATTACHING SUPPORTING DOCUMENTS TO AND REMOVING THEM FROM A SUBMITTED INTERNAL APPROVAL FORM

Once the notice-to-approve (by the submitter/creator) or certify (by the Principal Investigator) email is received, the recipient of the email then has the power to attach supporting documents to the Internal Approval Form. These documents will then travel with the Form throughout the rest of its routing at the University of Kentucky.

These documents, then, should be attached as early in the approval process as possible—preferably at the Principal Investigator certification stage or shortly thereafter. Required supporting documentation includes the following:

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 or required cost share;

5) documentation of third-party cost-share commitments if applicable; and

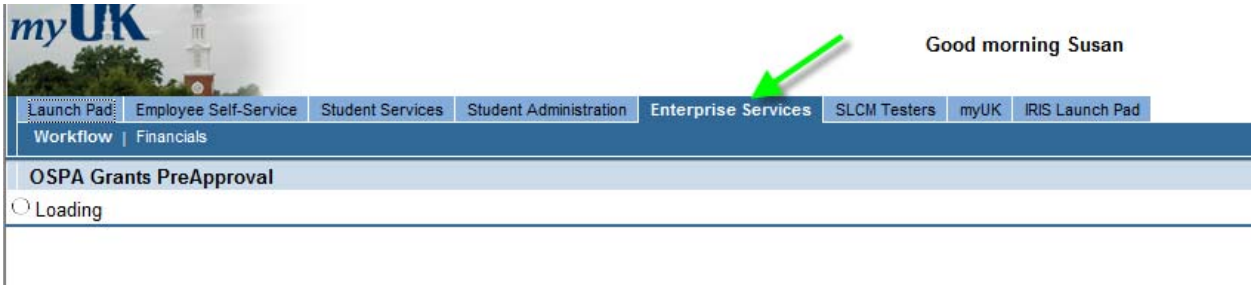
6) IRB or IACUC certification if applicable and available.

Note: once a document is uploaded to accompany an Internal Approval Form, it may be deleted or modified by **only** the person who uploaded it.

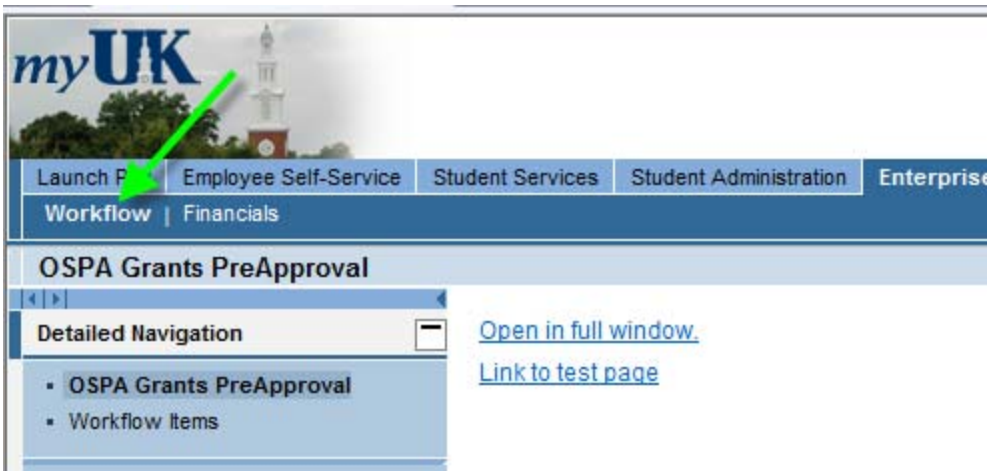
Documentation must be attached to the Internal Approval Form from the Workflow screen BEFORE certifying or approving. You can do this by following these steps.

Once you receive a certification email, log into SAP using your UK link Blue id and password.

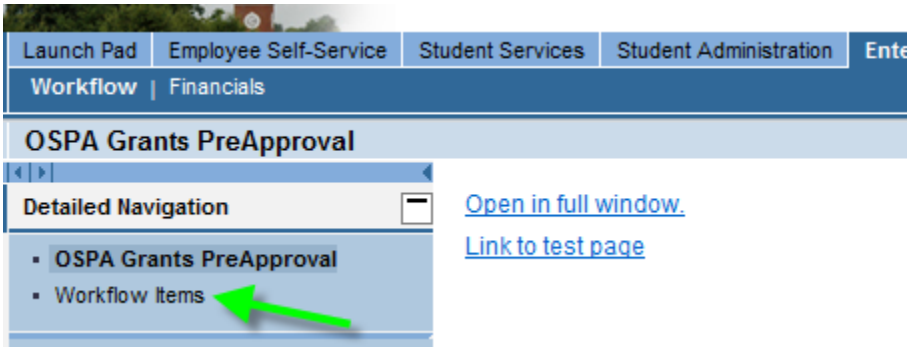
Choose the "Enterprise Services" tab.



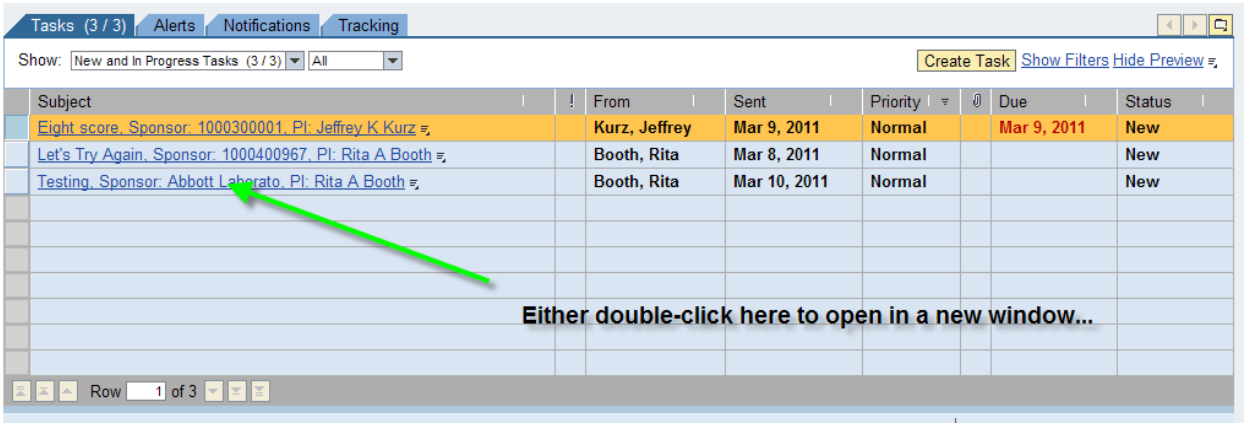
Choose “Workflow.”



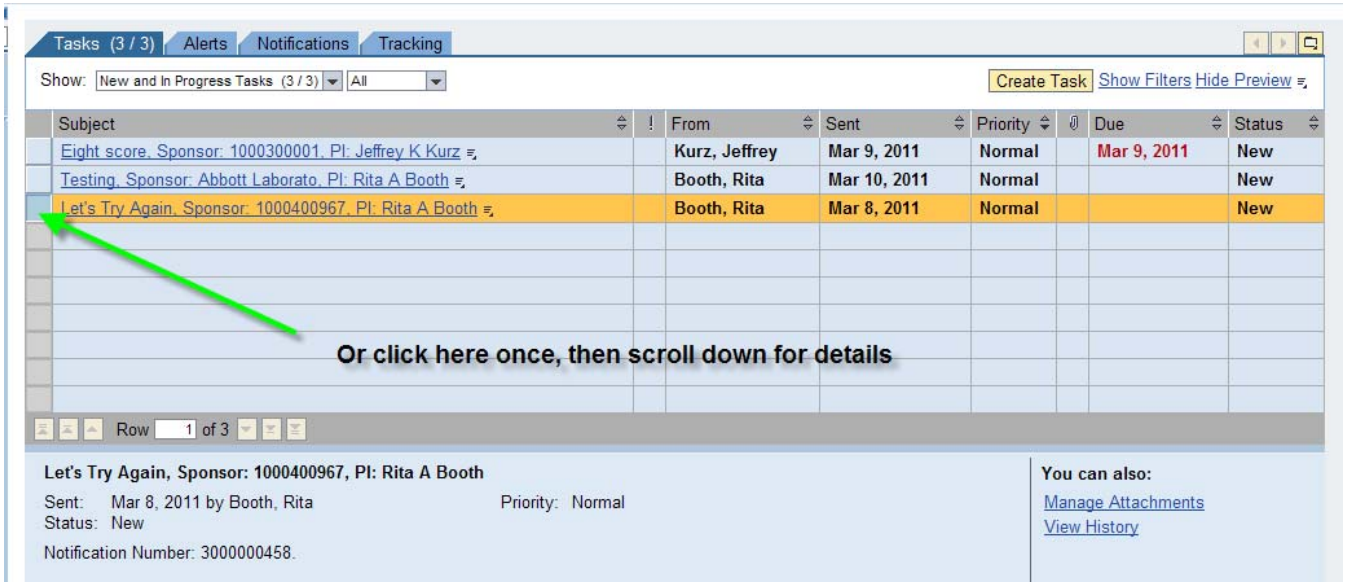
Choose “Workflow Items.”



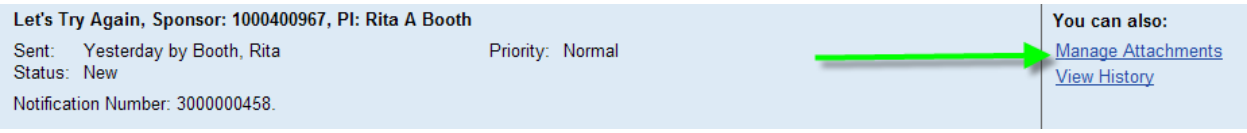
Either double-click on the Subject of the task (i.e., Internal Approval Form) in workflow to open it in a window of its own;



or choose it by left-clicking once to the left of the Subject of the task and scrolling down to see the details.

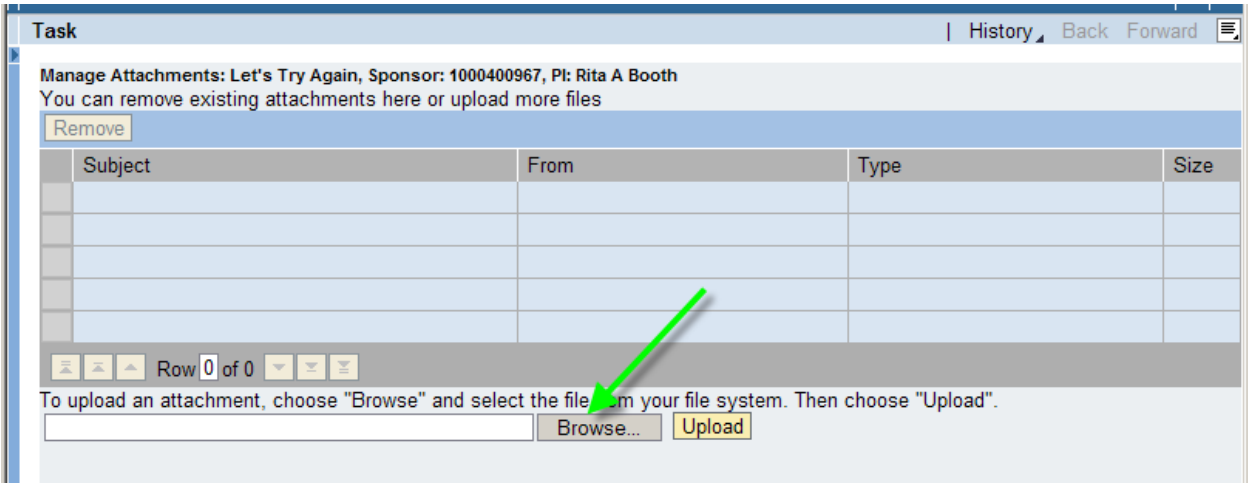


Once you have selected the task (Internal Approval Form), you will find to the right of the Notification Number a link entitled “Manage Attachments.”

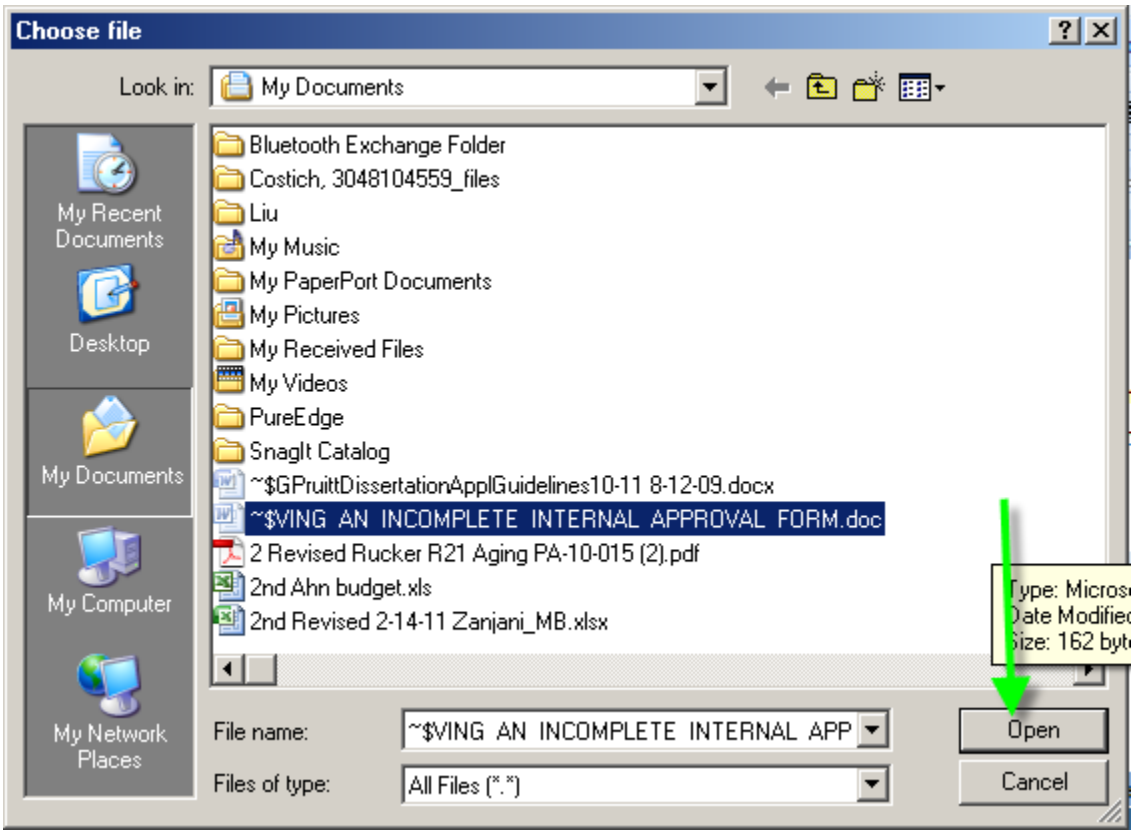


Left-clicking on “Manage Attachments” opens a window that allows you to browse and then upload the files of your choice.

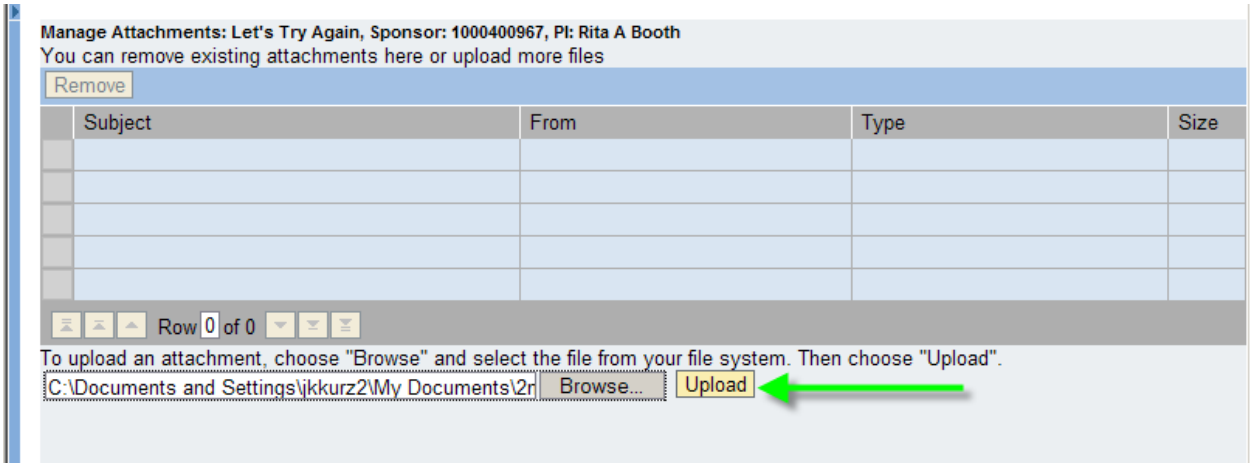
First, click Browse:



Then, choose a file from your computer to upload by highlighting it and then clicking “Open”:



Then choose “Upload”:

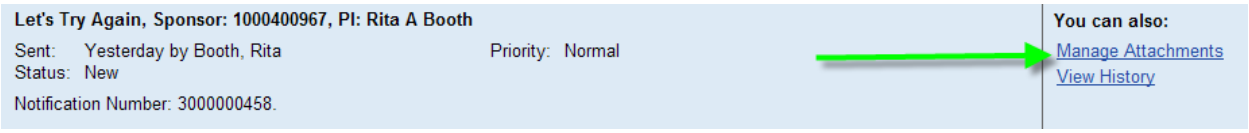


The file(s) you have uploaded will now be attached to the Internal Approval Form as it continues its routing.

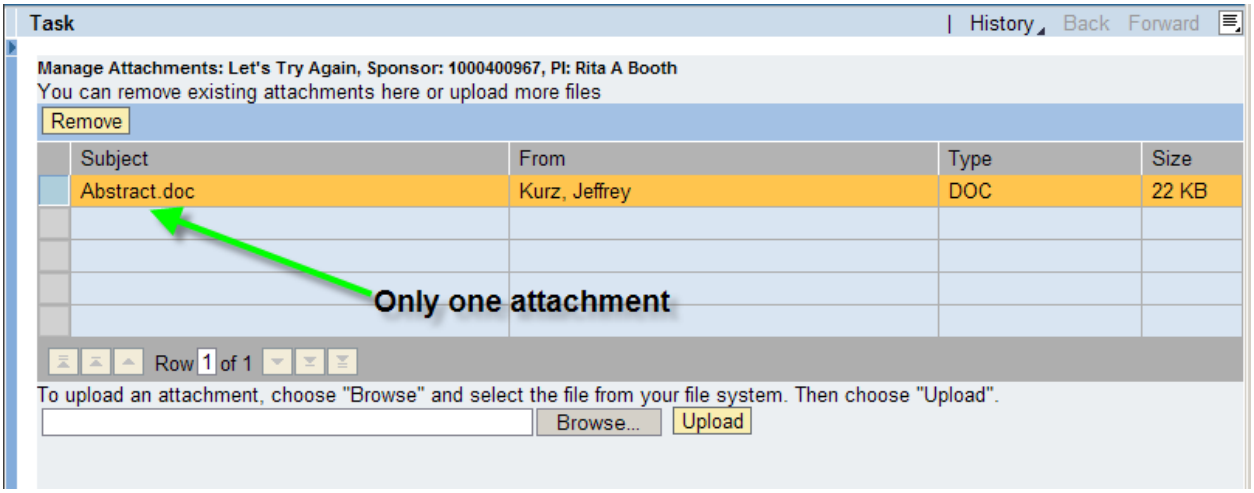
Only the person uploading an attachment may remove the attachment.

To remove an attachment:

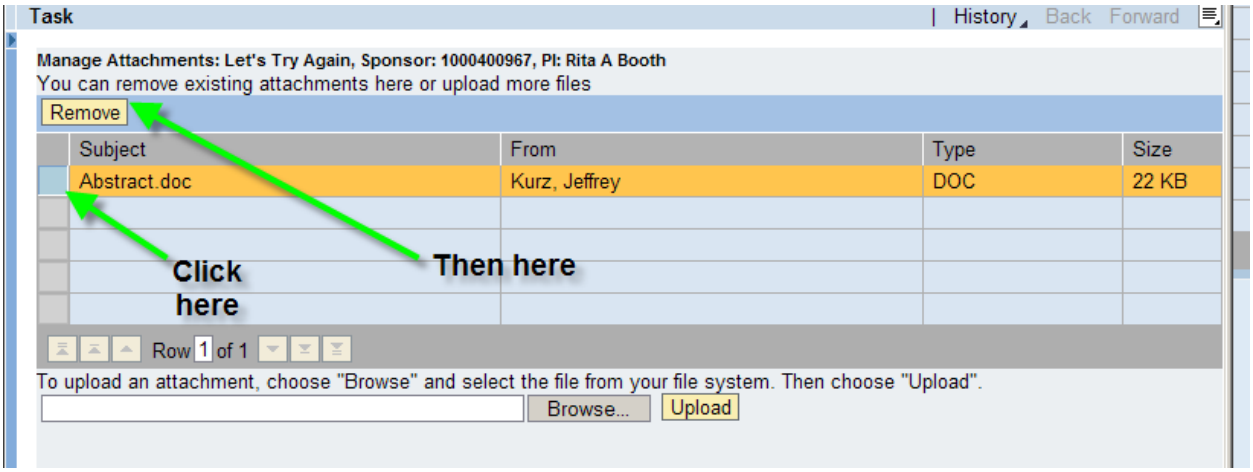
Click on “Manage Attachments.”



You will then see a screen which shows all attachments:



Choose the attachment to delete by clicking the box just to the left of its title, and then clicking "Remove."



You will then receive a confirmation asking, "Do you really want to remove this attachment?" Upon answering that question "yes," the attachment will disappear.

THE E-IAF CERTIFICATION PROCESS

If the PI attached items to the eIAF following the instructions in the previous section, please proceed to Page 35 and follow the instructions to “Display Form” and “Principal Investigator Certification.”

If someone other than the PI created/submitted the form, the Faculty/staff member with the PI role receives the e-mail below from “Batch User.”

Email notification – example of a PI notice

From: **Batch User** [mailto:wfbatch@email.uky.edu]
Sent: Sunday, May 15, 2011 2:31 PM
To: Hagan, Rhonda
Subject: Internal Approval Form -- action required

An Internal Approval Form titled TEST May 14 to Sponsoring Agency AAA Foundation for Traffic Safety is waiting for you for review and certification/approval. The notification number associated with the e-IAF is 003000000644.

After logging into the 'myUK' portal, select the Enterprise Services tab, then the Workflow tab and finally the Workflow Items link on the left.

Click Here to Login to myUK (https://myUK.uky.edu/irj/portal).

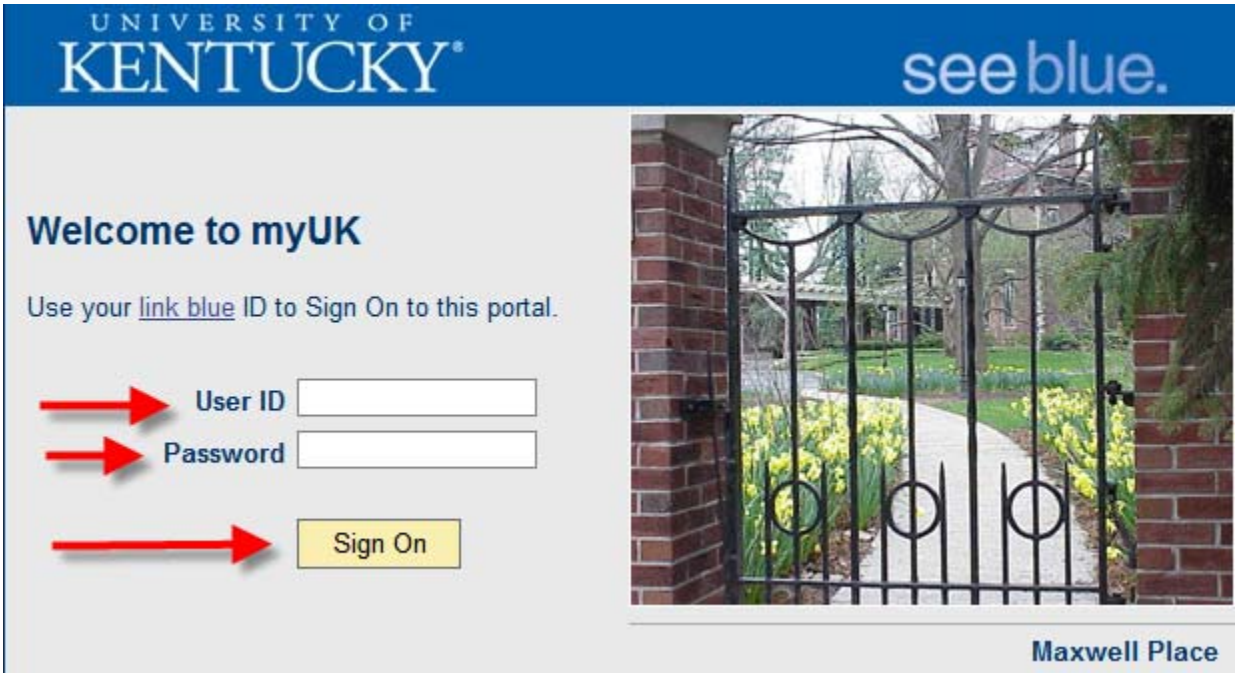
For more detailed instructions about accessing the e-IAF through the myUK portal click on the following link: http://www.research.uky.edu/ospa/forms.html.

If you have any questions, please contact your College Grants Officer. If you have no CGO, contact your Research Administrator.

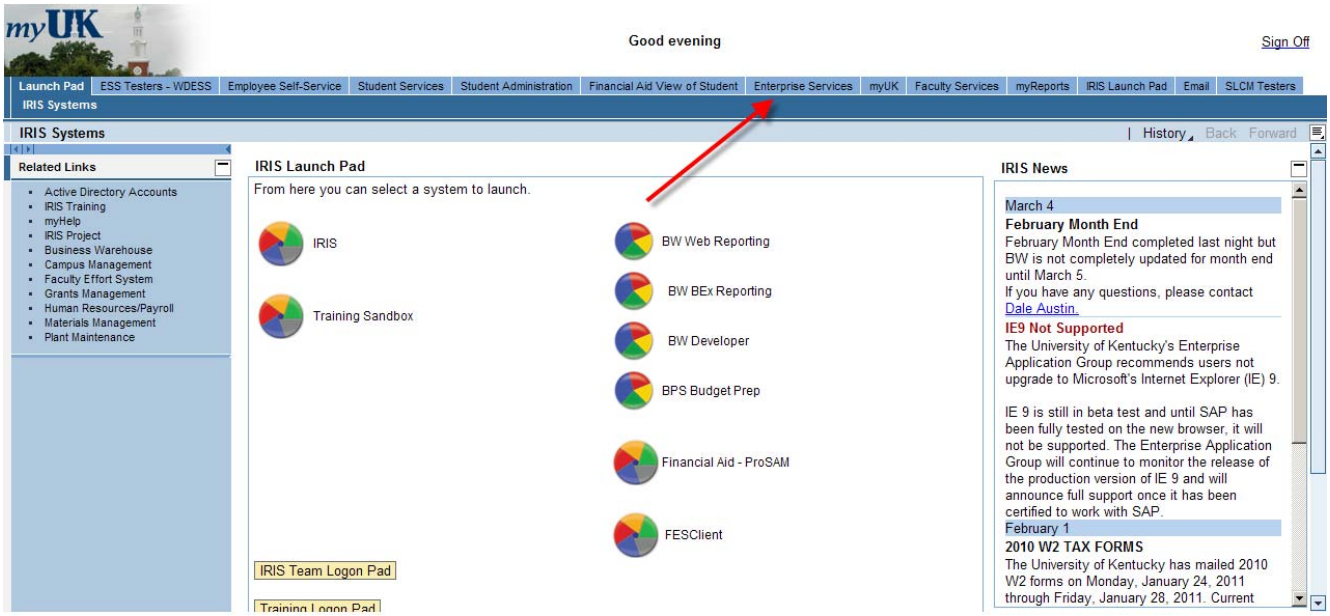
This email was produced from an automated process.
Do not reply to this email as this address is not monitored.

The PI clicks on the link in the email which opens the myUK login screen. If he/she is already logged into myUK, the link will automatically take him/her to the IRIS Launch Pad, which is second screen print below.

The PI logs into myUK using his/her link Blue id and password and clicking the “Sign On” button.

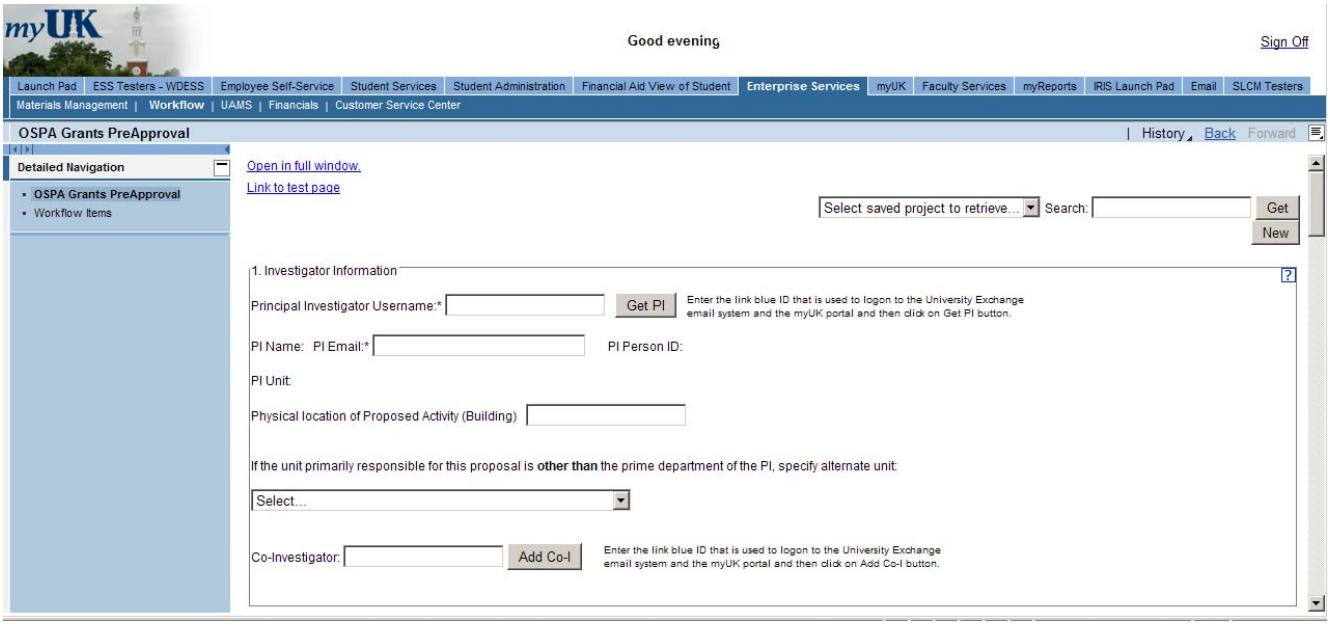


The PI chooses “Enterprise Services” tab from the first screen that appears upon logging into myUK.

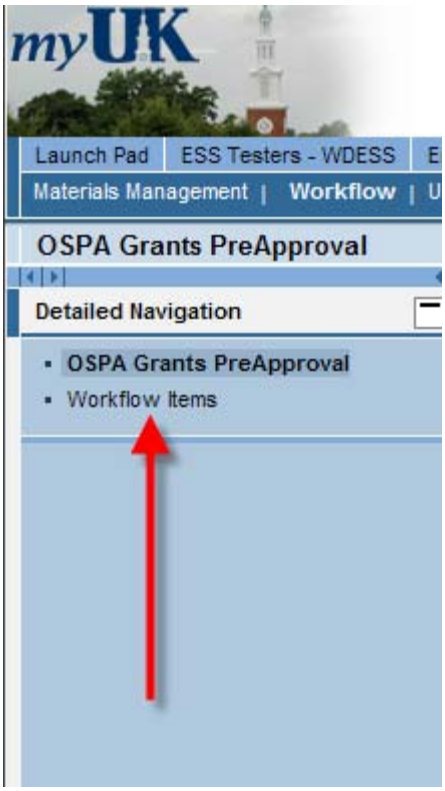


The PI then chooses “Workflow.”

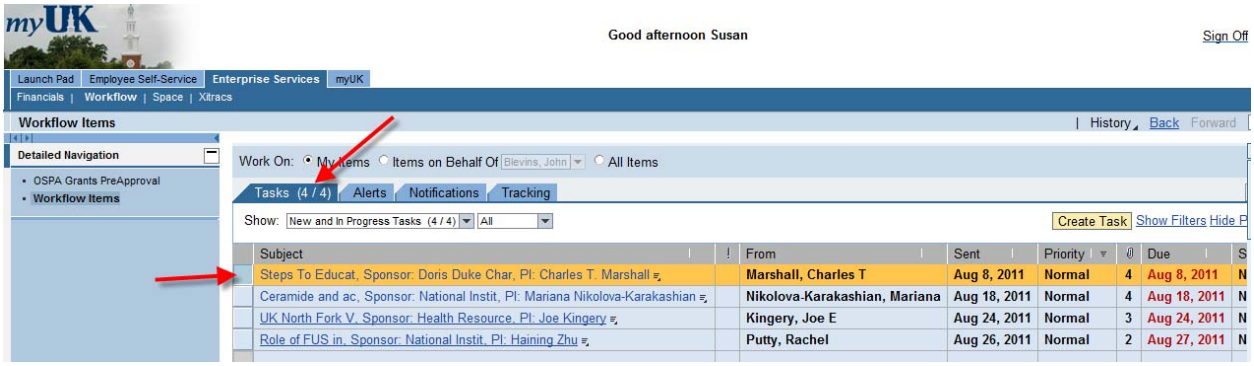
Note: A blank Internal Approval Form will appear after you click on workflow; however, this is **NOT** the IAF requiring certification.

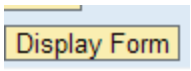


The PI then chooses “Workflow items.”



The PI chooses the internal approval form in his/her “Tasks” that requires certification by clicking on the line. That line will then be highlighted in yellow and will be available for viewing by scrolling down. You can also double click on the line and the information will appear in another window.



PI then opens the IAF by clicking 

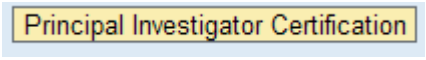
found at the bottom of the screen. The PI will review the IAF.

The abstract, detailed budget, budget justification, and any pages from the sponsor guidelines that limit or restrict F&A and any cost sharing requirements must be attached to the Internal Approval Form. (Refer to page 23 for the instructions on how to add attachments.)

Attachment file names will also appear at the bottom of the screen and can be accessed by clicking on the title of each.

In some cases, the file may have to be saved before it can be viewed.

If all items are acceptable, the PI reads the certification statement and clicks on bar that reads, “Principal Investigator Certification.”

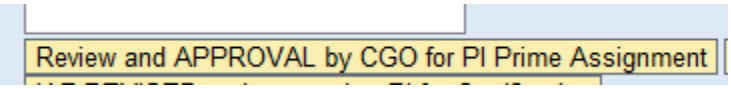


If unacceptable, the PI closes internal approval form and contacts CGO.

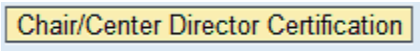
After the PI certifies, the internal approval form will be forwarded to the PI’s College Grants Officer, and then it will be forwarded to the Co-Is. Next, it will be forwarded to the Chairs, then to the Co-Is’ CGOs, and then it will be forwarded to the Deans/ADRs.

The same steps as noted for the PI will also be completed by PI College Grants Officer, Co-Is, Co-Is’ College Grants Officer(s), Chair(s) and Dean(s).

CGO approval button



Chair/Center Director certification button



ADR/Dean/Center Director approval button

If no action is taken by PI, CGO, Co-I, Chair, or Dean/ADR, a reminder email will appear 6 hours later (Below is an example of an e-mail reminder). At the 24 hour mark, an email reminder to the Chair or Dean/ADR is also sent to the delegate for his/her action. Only one person needs to execute the required action at each level.

-----Original Message-----
From: Batch User [mailto:wfbatch@email.uky.edu]
Sent: Thursday, January 13, 2011 2:21 PM
To: Hagan, Rhonda
Subject: Reminder to complete IAF Certification

This is a reminder that an Internal Approval Form for proposal Management of Work Stress, to Sponsoring Agency &BUS7051.IAF_SPONSOR_AGENCY&, submitted by PI awaits your certification in the myUK portal (https://myUK.uky.edu).

This email was produced from an automated process.
Do not reply to this email as this address is not monitored.

After the Internal Approval Form Certifications are completed, both the PI and OSPA will receive an email. Below is an example of the email OSPA receives.

-----Original Message-----
From: Batch User [mailto:wfbatch@email.uky.edu]
Sent: Tuesday, August 16, 2011 2:27 PM
To: OSPA
Subject: Internal Approval Form Certification Completed

All certifications for the Internal Approval form 'CAREER: Integration of Sustainability and Process Systems Engineering for the De', Sponsoring Agency National Science Foundation, submitted by Jeffrey Seay have been completed. The associated notification number is 003000001365.

To import into the OSPA database please click on the link below:
http://www.research.uky.edu/aspnet/vsprojects/iaf/getiaf.aspx?iaf_file=IAF_8H090_003000001365_20110816_142656.

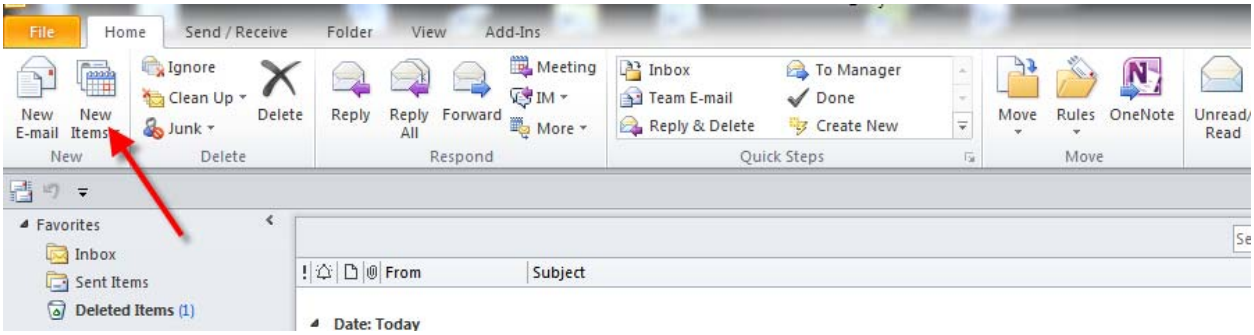
This email was produced from an automated process.
Do not reply to this email as this address is not monitored.

APPENDIX

How to find your Link Blue ID/alias.

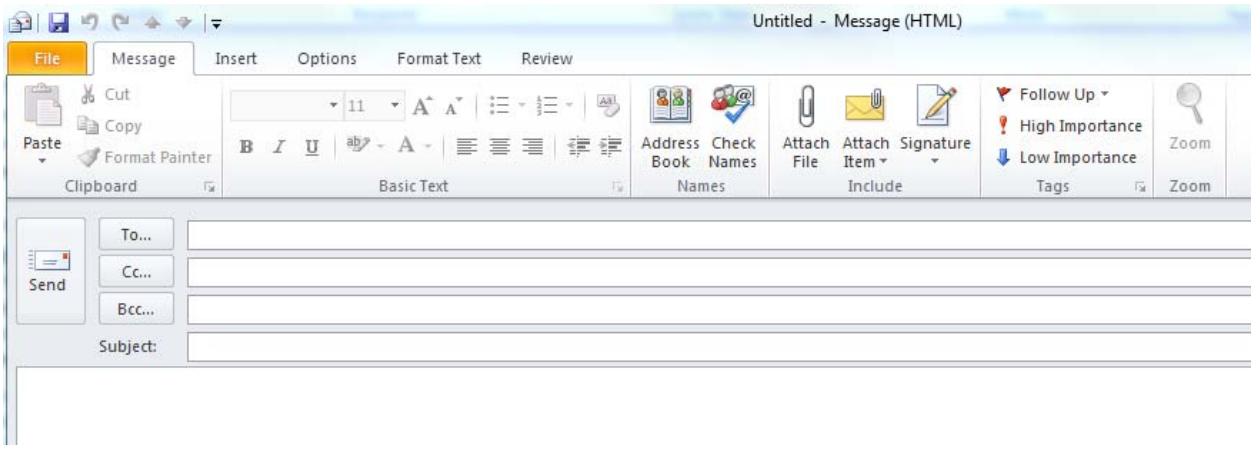
You can find this via the Outlook address book.

From your Outlook Inbox, click on “New Items.”

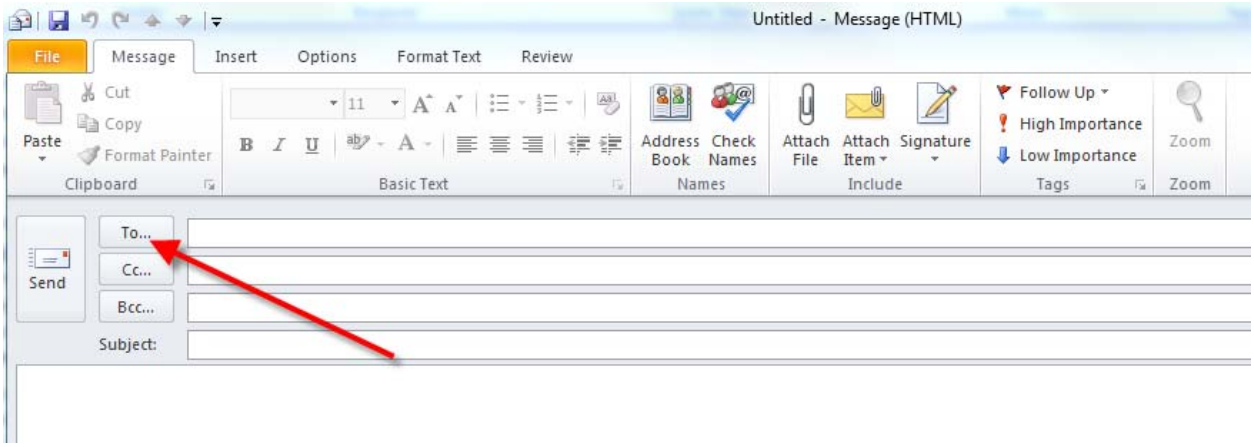


Next, click on “E-mail message.”

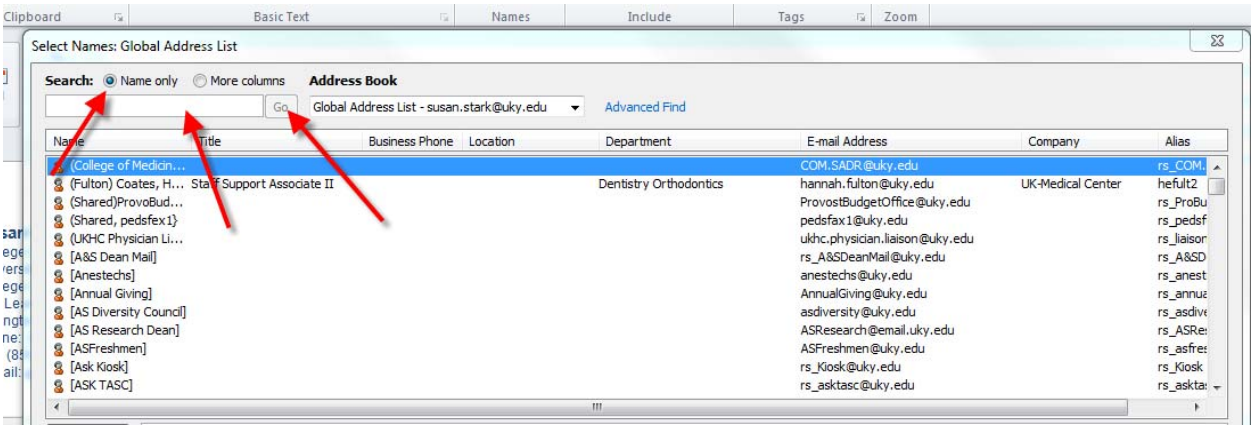
A blank new email message screen will then appear.



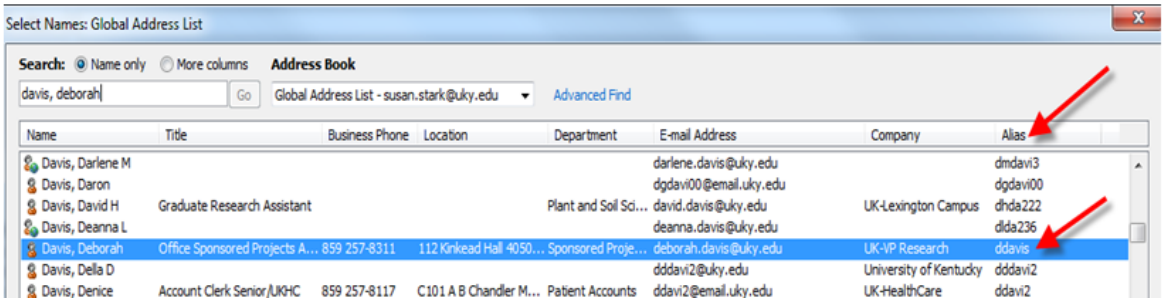
Click on “To. . . “



The next screen provides a search option. Selection the “Name Only” radial button, then enter the last name in the first field and click “Go.”



Once you've accessed the person you're looking for, you can find his/her Link Blue ID in the Alias column to the right.



How to find your myUK password.

Please refer to the UK IT website for assistance.

http://wiki.uky.edu/accounts/Wiki%20Pages/Home.aspx

Forgotten your password?

http://wiki.uky.edu/accounts/Wiki%20Pages/Computing%20Accounts%20FAQ.aspx

Activating Your Link Blue Account.

http://wiki.uky.edu/accounts/Wiki%20Pages/Activating%20Your%20Link%20Blue%20Account.aspx