UNIVERSITY OF LOUISVILLE.

Executive Vice-President for Research and Innovation

iRIS USER MANUAL: **GRANTS AND CONTRACTS**

Integrated
Research
Information
System

Version 2020.12.03

Office of Sponsored Programs Administration
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CONTENTS

LOG IN TO iRIS

Log In

Log In Screen

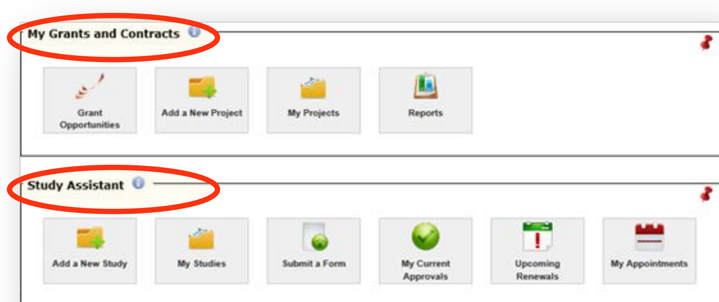
- Go to https://iris.louisville.edu/.
- Enter user ID and password.
- Click **Log In**.

OVERVIEW

Home Screen

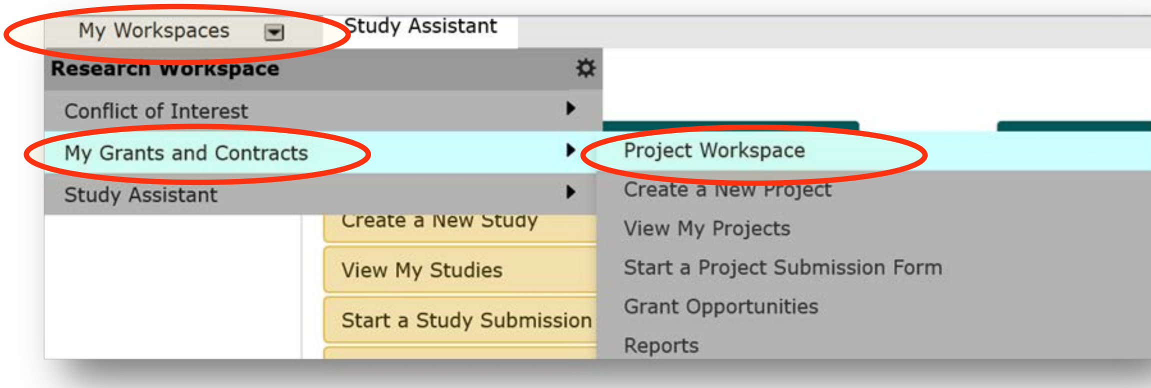
Workspaces

- iRIS has separate modules for specific submissions, accessible via the **My Workspaces** dropdown menu:
  1. Conflict of Interest – For individual attestation and disclosure: Used by Office of Research Integrity.
  2. **Project** (My Grants and Contracts) – The subject of this user manual, for sponsored grants and contracts: Used by Office of Sponsored Programs Administration.
  3. **Study** (Study Assistant) – For compliance committee approvals: Used by Institutional Animal Care and Use Committee, Institutional Biosafety Committee, Institutional Review Board.



- (Home screen in the previous interface.)

My Grants and Contracts



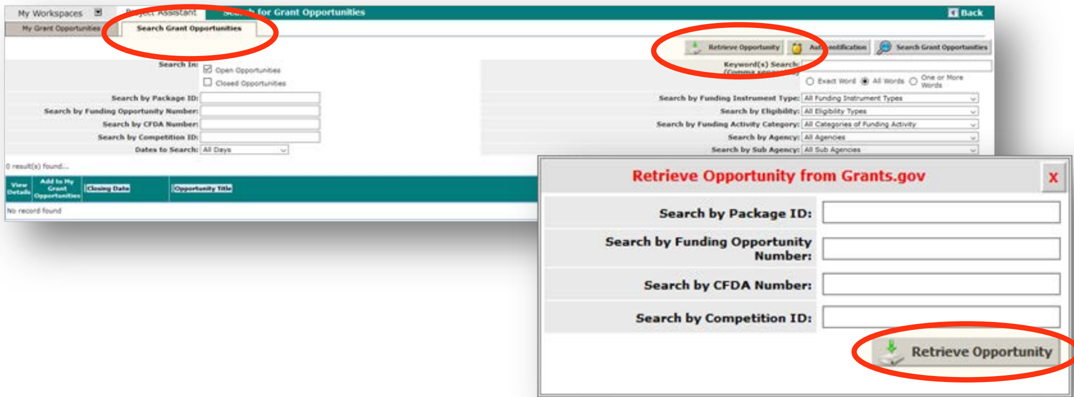
- Go to **My Grants and Contracts** and drill down to **Project Workspace**.

Featured Project Operations

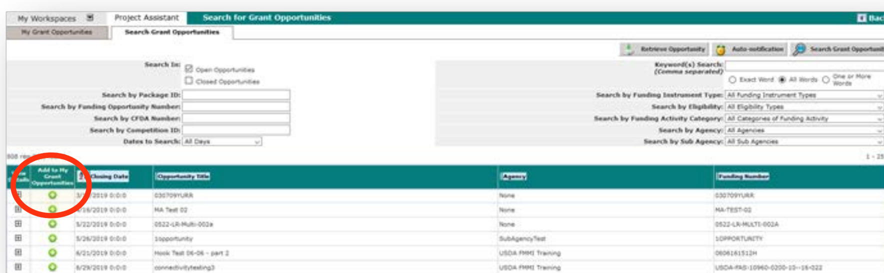
- **Create a New Project** – Establish a project shell, the first step in building a new project.
- **View My Projects** – See a listing of any existing projects to which you have access.
- **Start a Project Submission Form** – Initiate forms (e.g., eProposal, Nondisclosure Agreement) for any of your *existing* projects.
- **Track Approvals** – View the status on any of your submitted forms.
- **Incomplete Forms** – See a listing of your projects and their forms that have not yet been marked complete.

Project Assistant

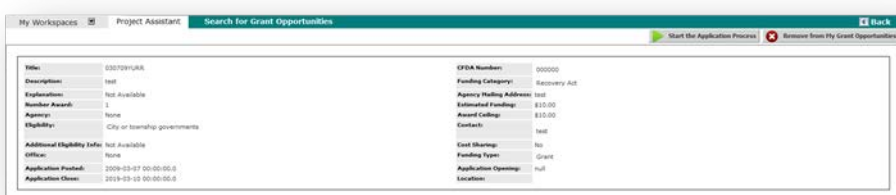
- **Grant Opportunities** – Click icon to link to funding announcements at Grants.gov—specific opportunities may be added to **My Grant Opportunities** tab for easy reference.



- Click **Search Grant Opportunities** tab, then search the directory by any criteria listed to locate an opportunity. (Note: Opportunity Number field is case-sensitive.)
  - If iRIS has not previously searched for a particular opportunity (such as one recently posted), click **Retrieve Opportunity** in the search window and again in the retrieve window.

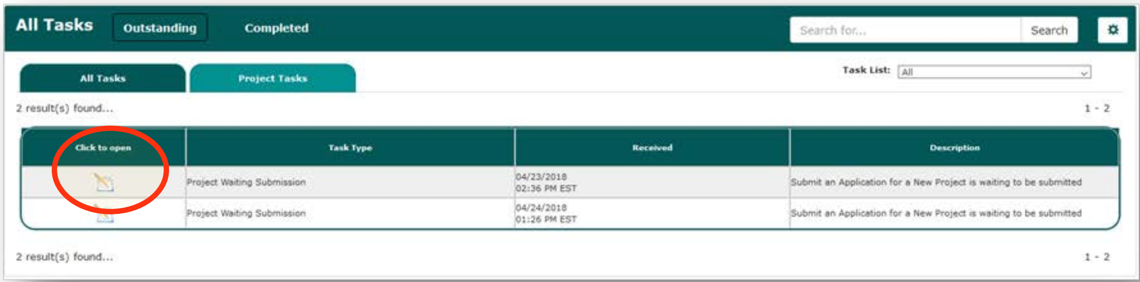


  - Click **Add to My Grant Opportunities** to include on **My Grant Opportunities** tab.

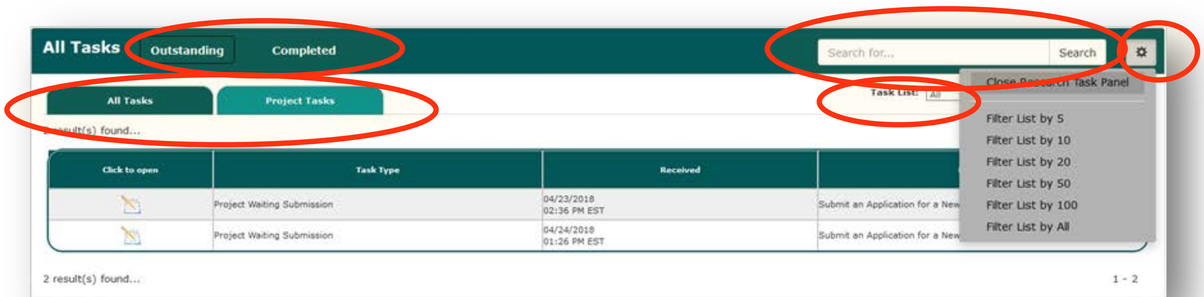


  - Click **Back** twice to return to workspace.

Tasks

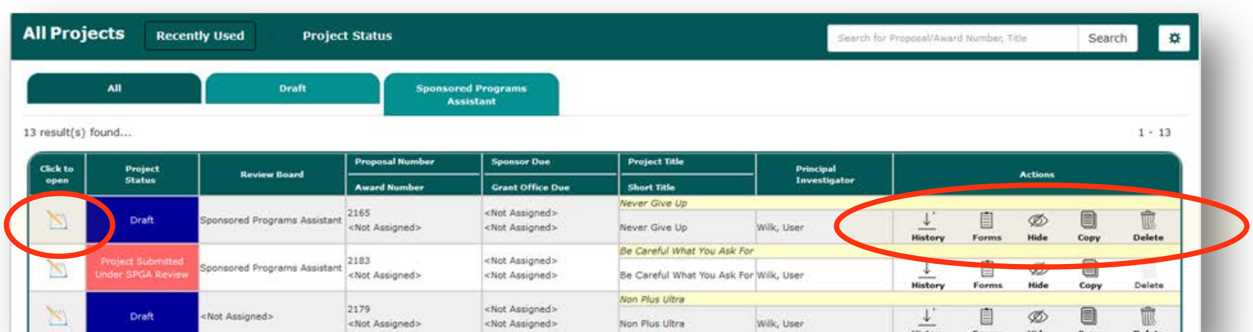


- **Project Tasks** – Link to projects which require action on your part—press **Click to Open** on a specific project to complete a task.



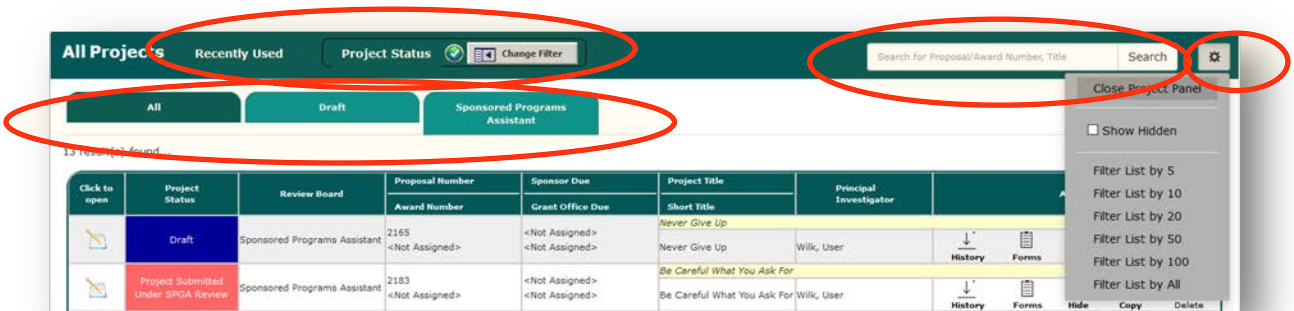
- Task panel can be searched and organized by using status and tab links, **Search** function, tool icon and **Task List** dropdown menu.

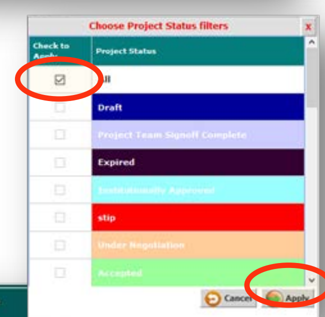
Projects



- **Projects** – See a listing of projects to which you have access.
- **Click to Open** – Go into a specific project.
- **History** – View a dropdown summary of submissions and approvals for a specific project.

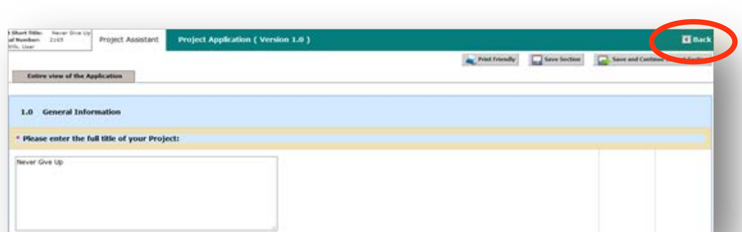
- **Forms** – Open a navigable table of available forms for a specific project.
- **Hide** – Temporarily remove a project from list (to retrieve, check **Show Hidden** under tool icon).
- **Copy** – Duplicate a project.
- **Delete** – Permanently remove a project (requires submission access, e.g., PI, admin assistant).



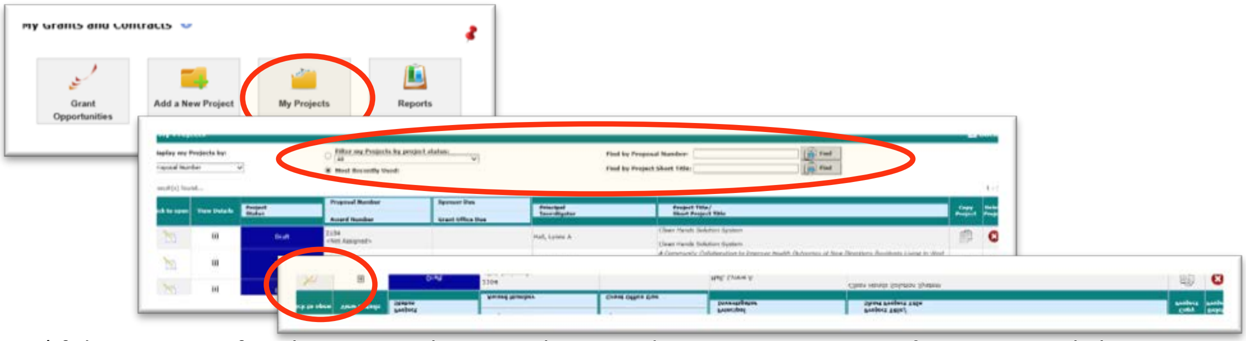


- Project panel can be searched and organized by using status and tab links, **Search** function and tool icon.
- Click **Project Status** to filter the list.
  - Click **Check to Apply** the desired filter(s), then click **Apply**.

- Press **Click to Open** to go to the submissions screen for a specific project.

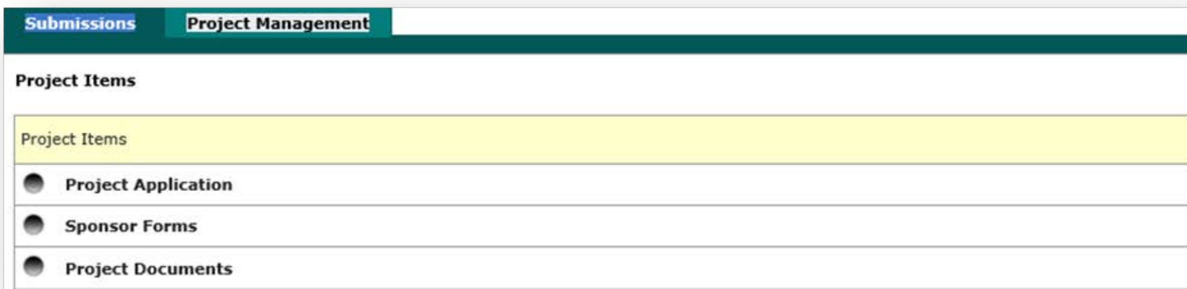


  - (If project application shell opens, click **Back** to go to project's submissions screen.)



- (If the new interface has not yet been implemented, go to **My Grants and Contracts**. Click **My Projects**. Search by proposal number or short title and click **Find**. Click **Open** to go to the submissions screen.)

Project Items



Project Application (Project Shell)—Fundamental dataset containing a project's title, personnel and departments. The first step in developing any project is the creation of a shell. Answering three questions will establish the project's base. Once the shell is created, it serves as a virtual folder that holds all associated forms, including the eProposal, Nondisclosure Agreement, etc.

Sponsor Forms—Sponsor packets downloaded from Grants.gov by iRIS.

Project Documents—Uploaded from a UofL user's computer into iRIS.

Stage of Project Lifecycle (Forms)

Stage of Project Lifecycle

Proposal and Contract Submission

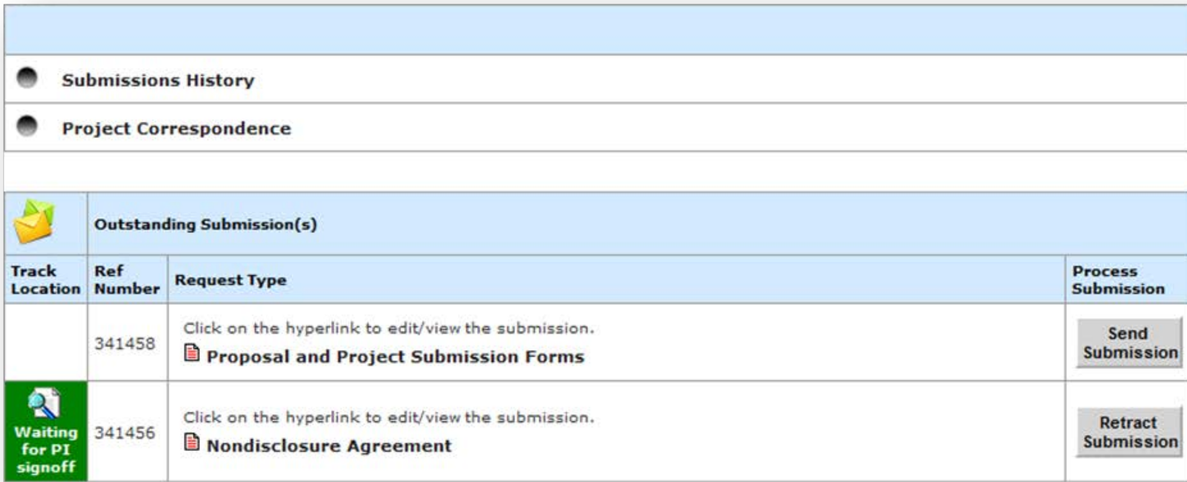
- **eProposal Application**
- **"Short Form" Proposal and Project Submission Forms via PCF, SCF, TRIA, MIRA, JIT, Guarantee/Preaward Request, Other**
- **Nondisclosure Agreement**
- **Data Use Agreement**
- **Material Transfer Agreement**

eProposal—Project information to be submitted to a sponsor for funding consideration or to begin agreement negotiations. Once a project shell is established, the eProposal form can be built interactively with information precisely relevant to the project.

Short Form–Proposal & Project Submission via PCF, SCF, TRIA, MIRA, JIT, Guarantee/Preaward, Other—Prior to iRIS, proposals and project requests were submitted to Sponsored Programs on signed paper forms. Once a project shell is established in iRIS, the **Short Form** serves as a vehicle to submit proposals, requests and approvals—in the old format—inside the new system.

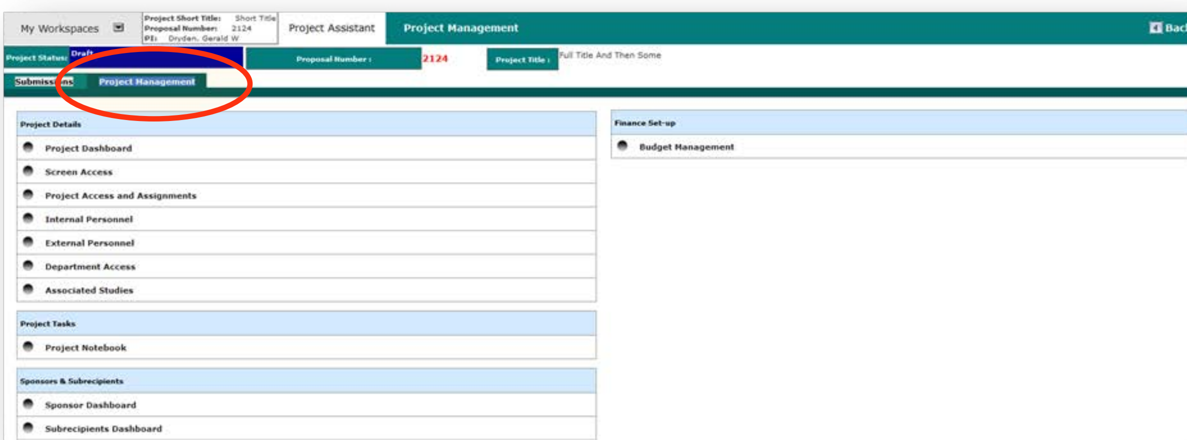
Nondisclosure / Data Use / Material Transfer Agreements—Once a project shell is established, nonfinancial agreements may be requested via these forms which provide information needed by contract specialists to negotiate specially targeted agreements.

Submissions and Correspondence



- **Submissions History**—Provides details of all iRIS submissions associated with a project.
- **Project Correspondence**—Provides all project-related correspondence generated in iRIS.
- **Outstanding Submission(s)**—Displays project-related iRIS submissions in process and provides the ability to send or retract.

Project Management



- **Project Management**—Tab offers a way to view and manage various settings of a project.

Navigating Back and Forth

- In iRIS to navigate to previous screens, always use the iRIS **Back** button in the top right of the screen, not the browser's **Back** button. **Back** also returns a user from a sub-action to the main action within a form.
- To move from section to section within a form: Click a previous section number to go backward, and click a subsequent section number or **Save and Continue to Next Section** to move forward.

Help Icon

- **Help Icon**—Click the orange question mark in **My Workspaces** header bar to go to the websites of the oversight committees/offices utilizing iRIS. Click the icon beside a question to see an explanation, definition or other information specific to the question.

Short Form Without eProposal

How Do I Submit Conventional Proposals Through iRIS?

Create Shell

- **Principal Investigator/Administrator:**
- Create a new project shell.

Create Proposal

- **Principal Investigator/Administrator:**
- Create a proposal in the traditional way, using PCF or TRIA-MIRA.

Circulate PCF/TRIA-MIRA

- **Principal Investigator/Administrator:**
- Circulate PCF or TRIA-MIRA for signatures.

Review & Sign PCF/TRIA-MIRA

- **Individual Reviewers:**
- Review and sign PCF or TRIA-MIRA.

Upload PCF/TRIA-MIRA

- **Principal Investigator/Administrator:**
- Within iRIS record, create **Short Form–Proposal & Project Submission** and upload all PCF/TRIA-MIRA documents into it**.**

Sign Submission Form

- **Principal Investigator/Administrator:**
- Digitally sign **Short Form–Proposal & Project Submission.**
- Form goes to Sponsored Programs.

eProposal

How Do I Submit eProposals With Conventional Approval Forms?

Create Shell

- **Principal Investigator/ Administrator:**
- Create a new project shell.

Create eProposal

- **Principal Investigator/ Administrator:**
- Within project record, create a new eProposal form.
- Complete the form, upload documents, and route for submission.

Sign eProposal

- **Principal Investigator:**
- Digitally sign eProposal.
- eProposal goes to Sponsored Programs.

Circulate Signature Page

- **Principal Investigator/ Administrator:**
- Circulate PCF/MIRA Signature Pages for signatures.

Review & Sign Signature Page

- **Individual Reviewers:**
- Review eProposal and sign PCF/MIRA Signature Page.

Upload Signature Page

- **Principal Investigator/ Administrator:**
- Upload PCF/MIRA Signature Pages into **eProposal.**

Sponsored Programs Review Board

What Does Sponsored Programs Do With My Submissions?

Receive & Deliver

- **Sponsored Programs Traffic Cop:**
- Receive eProposal or other iRIS submission.
- Deliver to core lead for assignment. Route also to Conflict of Interest (COI) Office for concurrent review.

Assign

- **Core Lead:**
- Assign to Proposal/Award/Negotiation Specialist as analyst.

Review

- **Proposal/Award/Negotiation Specialist:**
- Review all sections and attachments. Work with PI/department to make corrections. Receive COI Office clearance of personnel and subrecipients.
- Complete Sponsored Programs section. Assign to Authorized Organizational Representative (AOR).

Submit to Sponsor

- **Authorized Organizational Representative:**
- Submit eProposal system-to-system (or return to PI for submission, as appropriate).
- Mark status as **Submitted** on **Outcome** tab.
- Email notice of approval/submission to PI/department/SOS core.

Enter in PeopleSoft

- **Grant & Contract Assistant (Assigned by Senior GCA):**
- Enter data into PeopleSoft.

PROJECT APPLICATION SHELL

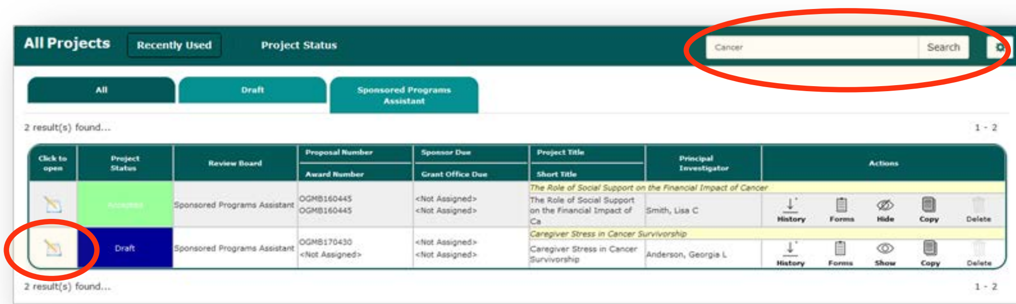
Create Answer Exit

Shell Overview

The first step in developing any project is the creation of a shell. Answering three questions will establish the project's title, personnel and departments. Once the shell is created, it serves as a virtual folder that holds all associated forms, including the eProposal, Nondisclosure Agreement, etc.

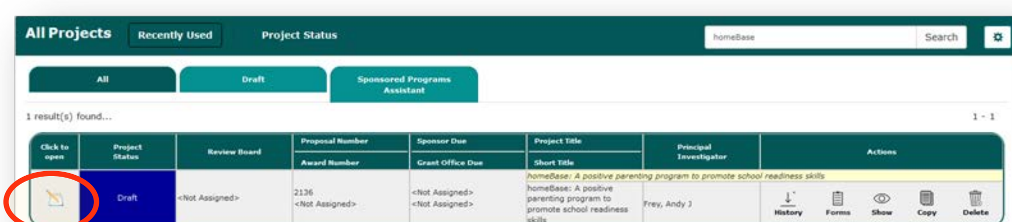
When Do I Need to Create a New Shell?

Existing PeopleSoft Projects: No



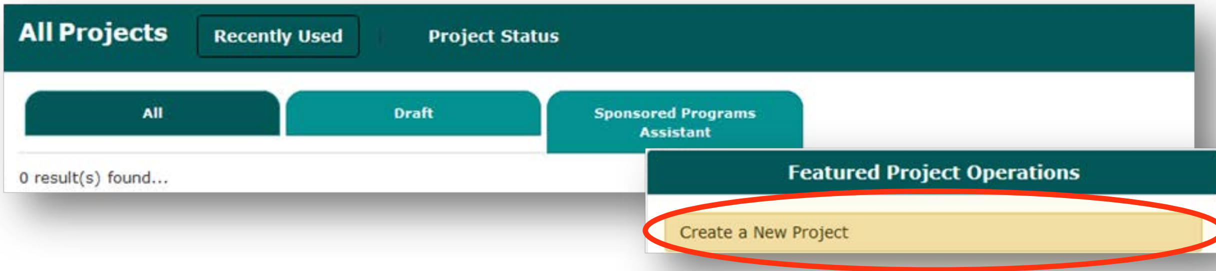
- Certain legacy proposals and awards that predate the iRIS system have been imported into iRIS. Search **Project Workspace** (**My Projects** in previous interface) by PeopleSoft proposal/award number or title (case-sensitive). If your search pulls up the project, there is no need for a new shell. Press **Click to Open** to go to the project's form section.
- If your search does not pull up the old project and you need a new form for it, do not re-create it in iRIS. Contact Sponsored Programs about having the project imported from PeopleSoft.

Existing iRIS Projects: No



- If a project was already created in iRIS, do not create another shell for the same project. Press **Click to Open** to proceed to the project's form submissions section.
- If your search does not pull up a project that you believe exists in iRIS, do not duplicate it! Ask Sponsored Programs to perform an administrative-level search and ensure you have access.

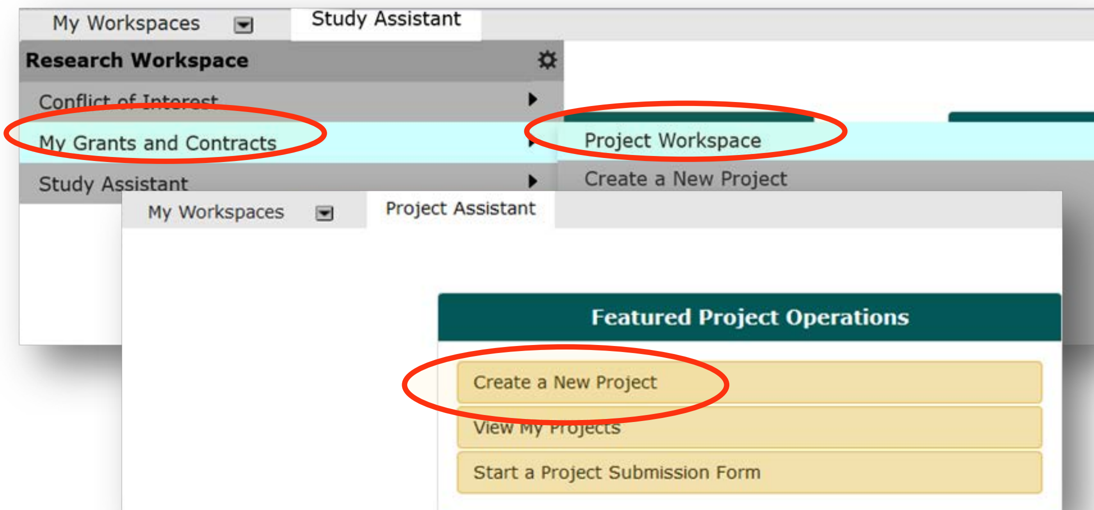
New Projects Not Yet Created in iRIS or PeopleSoft: Yes



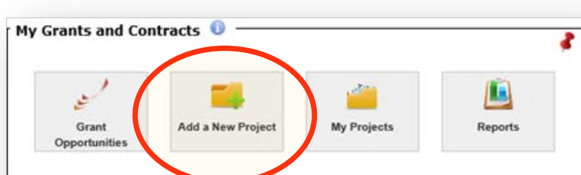
- If a project has not yet been created in iRIS or PeopleSoft, initiate it by creating a new shell.

Create

Create a Shell



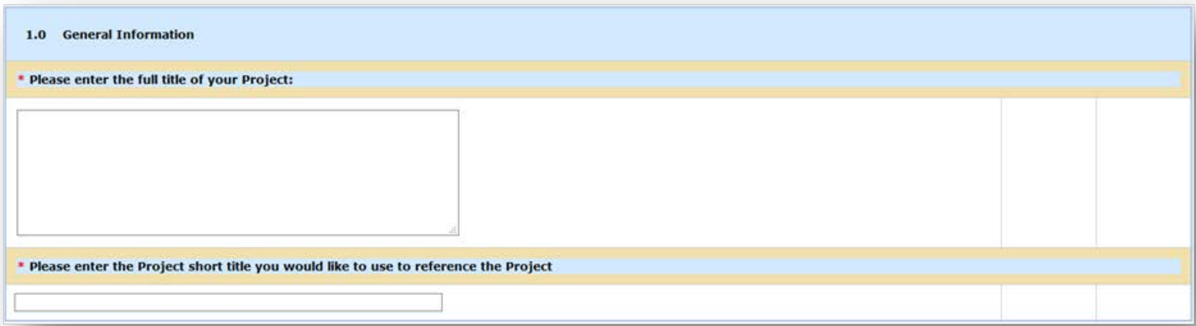
- From **My Workspaces**, drill down via **My Grants and Contracts** to the **Project Workspace**.
- Click **Create a New Project**.



- (If the new interface has not yet been implemented, go to **My Grants and Contracts**. Click **Add a New Project**.)

Answer

1.0 Title



1.0

- Enter the full title of the project (precede with project acronym/protocol number if applicable).
- Enter a short title for the project (precede with project acronym/protocol number if applicable).
- Click **Save and Continue to Next Section**.

2.0 Project Access

2.1—2.2—2.3—2.4—2.5

- Click **+ Add** in any relevant category to enter personnel who require access to the iRIS project.

User Directory Search Window

- Search the directory by name and/or department, then click **Find** to locate an individual.
- Click **Select User** to make your selection and to return to the shell.

- Choose a role if a dropdown menu appears below the name after selection.

1. **Principal Investigator**: Ultimate responsibility for project design, execution and management. *(This role is authorized to submit iRIS forms.)*

2. **Project Personnel**:

   A. **Additional Investigators**: Specify Multiple PI, Additional PI, Co-Investigator *(these may submit),* or Co-PI *(may not submit).*

   B. **Research Support Staff**: Specify Technician, Other, Other Professional, Postdoctoral Fellow, Graduate Student (GRA), Undergraduate Student or Key Personnel *(these may not submit)*.

   C. **Primary Research Administrator**: Defaults to creator; change as needed *(may not submit)*.

   D. **Other Administrative Personnel**: Specify Additional Research Service Coordinator, Postaward Coordinator, Clinical Trials Coordinator, Clinical Contact, Regulatory Contact, Budgetary Contact *(these may not submit)*.

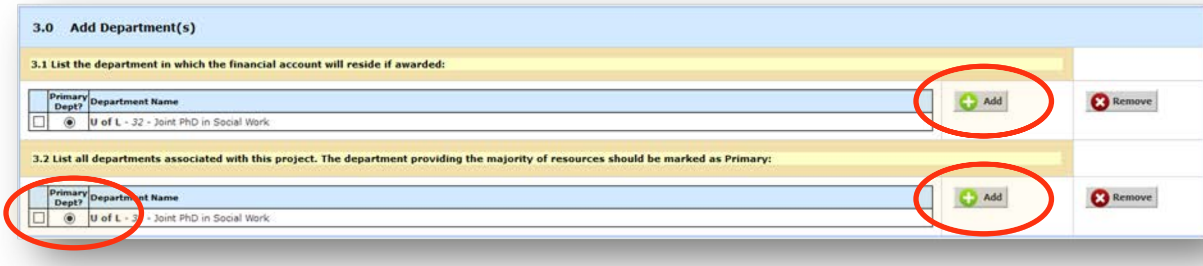
3. **Project Contact**: The principal investigator automatically receives most notifications. Add anyone (typically the research services coordinator) who needs to receive ALL important system notifications *(this role may not submit)*.

4. **Designated Approvers**: Individuals authorized to departmentally approve and sign off on the project, typically department chairs/unit heads *(these may not submit)*.

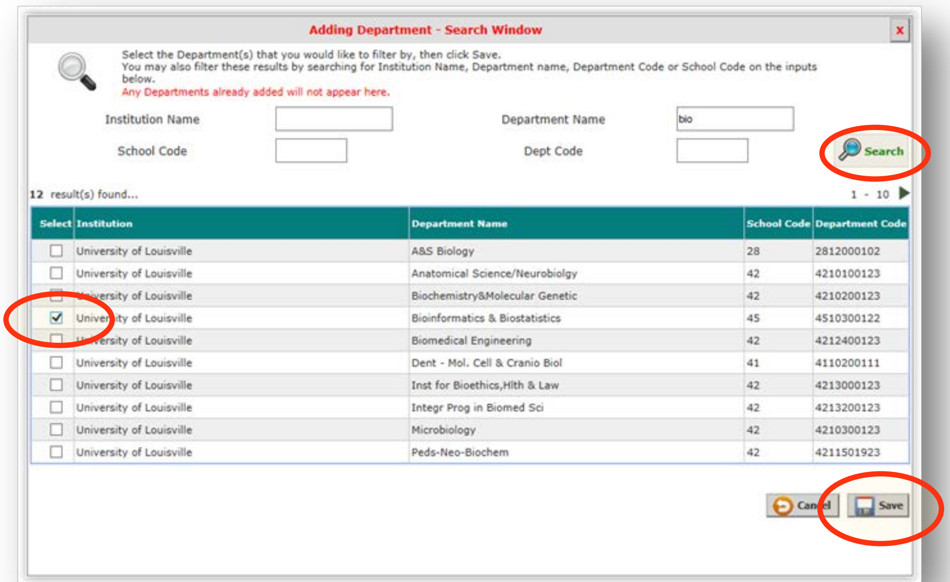
5. **Administrative Assistants**: THIS IS A SIGNIFICANT ROLE IN iRIS. By default, only the PI and project creator/author have editing rights. Add anyone else who needs editing access—including those added above in non-submitting roles if they need to edit the project *(may submit Short Form, Nondisclosure Agreement requests on behalf of PI; may initiate eProposal submissions to the point of PI signoff).*

- Click **Save and Continue to Next Section**.

3.0 Departments



3.1—3.2



Add Department Search Window

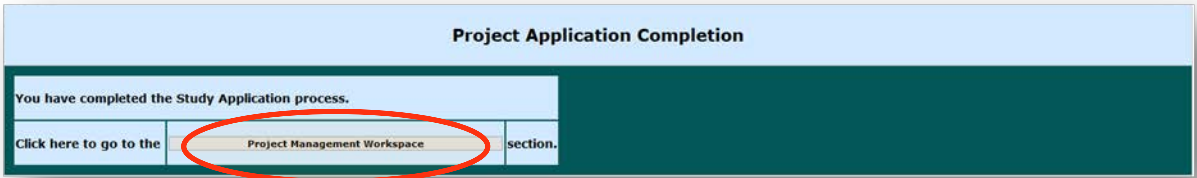
6. Click **+ Add** to enter the department that will house the project's financial account (chartfield/speedtype). Defaults to PI's primary appointment. Change as needed.
    - Search the directory by name/number to locate a department, then click **Search**. Check **Select** to make your selection, then click **Save** to return to shell.
7. Click **+ Add** to enter all departments providing any form of resource, including personnel, funding, equipment, facilities, space, etc. Defaults to PI's primary appointment. Add others as needed.
    - Search the directory by name/number to locate a department, then click **Search**. Check **Select** to make your selection, then click **Save** to return to shell.

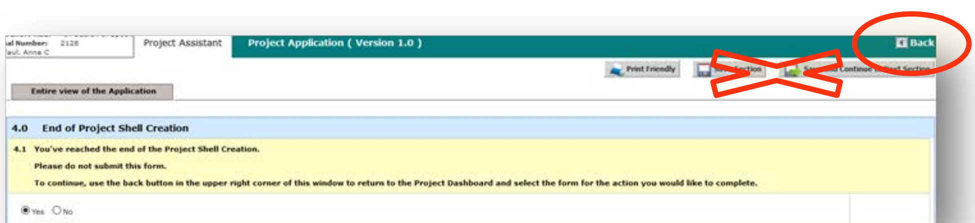
   Be sure to mark the department providing the majority of resources as primary.

- Click **Save and Continue to Next Section**.

Exit

4.0 Shell is Complete





4.0

- Depending on which iRIS version was active when the project was initiated, screens may vary at this point. Click either **Project Management Workspace**, **Exit Form**, or **Back**. (Do not sign or submit the shell.)
- Navigate to the project's submissions screen to create a new eProposal, Nondisclosure Agreement or other form.

SHORT FORM–PROPOSAL & PROJECT SUBMISSION
VIA PCF, SCF, TRIA, MIRA, JIT, GUARANTEE/PREAWARD, OTHER

Create Attach Sign

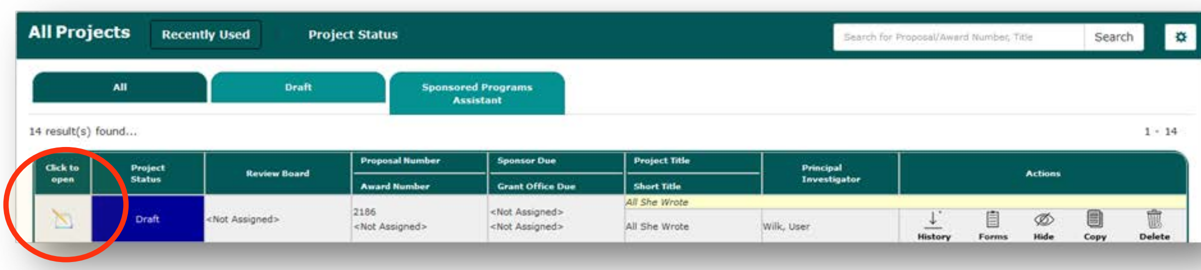
Short Form–Proposal & Project Submission Overview

Prior to iRIS, proposals and project requests were submitted to Sponsored Programs on signed paper forms. Once a project shell is established in iRIS, the **Short Form** serves as a vehicle to submit proposals, requests and approvals—in the old format—inside the new system.

Form Creation

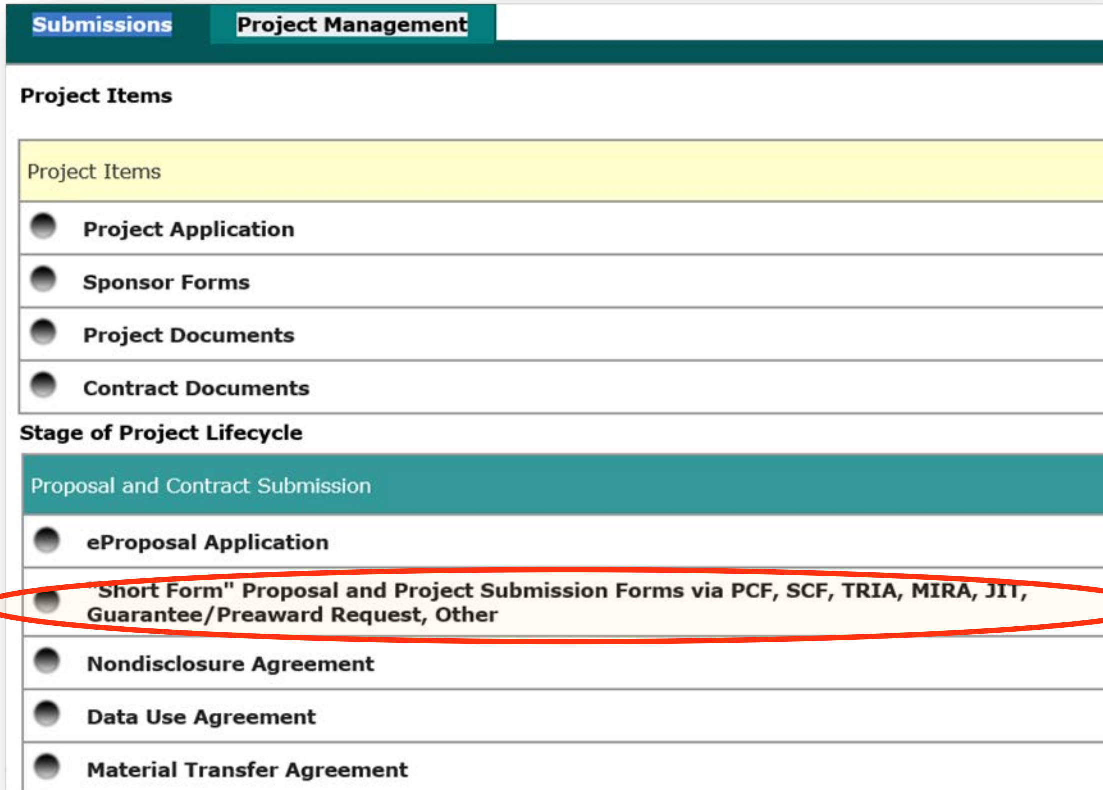
Create

Create a Short Form–Proposal & Project Submission



Project Workspace Project Panel

- After a project application shell has been created, at the specific project listing (at project panel) press **Click to Open** to navigate to its submissions screen.



Project Submissions Screen

- Click **Short Form–Proposal and Project Submission Forms via PCF, SCF, TRIA, MIRA, JIT, Guarantee/Preaward Request, Other**.

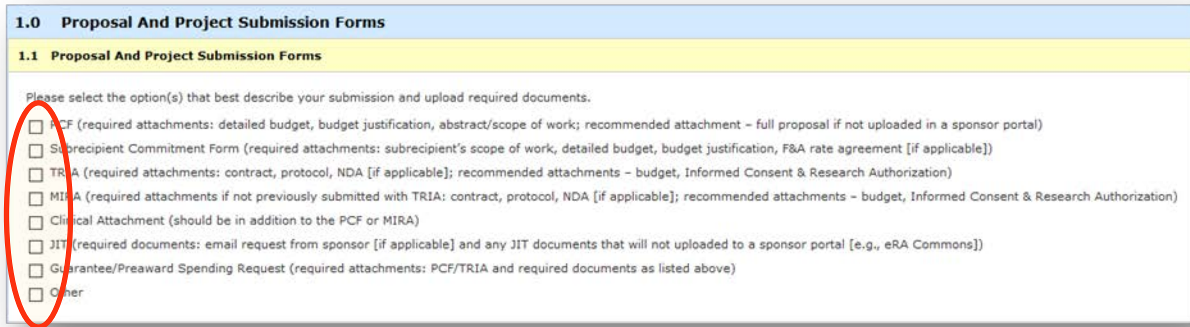
Version List and Form Creation Screen

- Click **Add a New Form** to begin the submission form (the version list will show any existing forms of this type for this project).

Attach

1.0 Proposal & Project Submission Forms

1.1 Proposal & Project Submission Forms

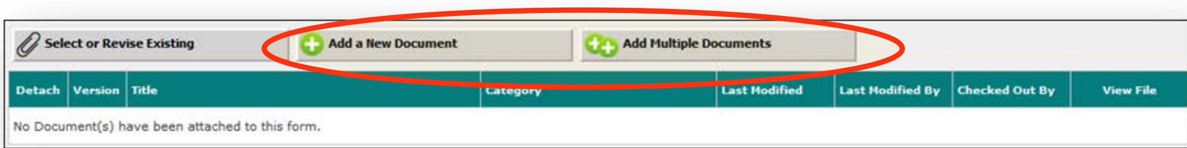


1.1a

- Check the option(s) best describing this submission. (Note: All documents with signature lines must be fully signed.)
  - PCF (Proposal Clearance Form) – *Signed*
    - Required attachments: detailed budget, budget justification, abstract/scope of work
    - Recommended attachment: full proposal if not uploaded in a sponsor portal
  - Subrecipient Commitment Form – *Signed*
    - Required attachments: subrecipient's scope of work, detailed budget, budget justification, F&A rate agreement (if applicable)
  - TRIA (Transmit for Review and Initial Assessment)
    - Required attachments: contract, protocol, NDA (if applicable)
    - Recommended attachments: budget, informed consent & research authorization
  - MIRA (Multi-Institutional Research Application) – *Signed*
    - Required attachments if not previously submitted with TRIA: contract, protocol, NDA (if applicable)
    - Recommended attachments: budget, informed consent & research authorization
  - Clinical Attachment (should be in addition to the PCF, or to a MIRA with no previous TRIA)
  - JIT (Just-In-Time)
    - Required documents: email request from sponsor (if applicable) and any JIT documents that will not be uploaded to a sponsor portal (e.g., eRA Commons)
  - Guarantee/Preaward Spending Request – *Signed*
    - Required attachments: PCF or TRIA and their required documents as listed above
  - Other

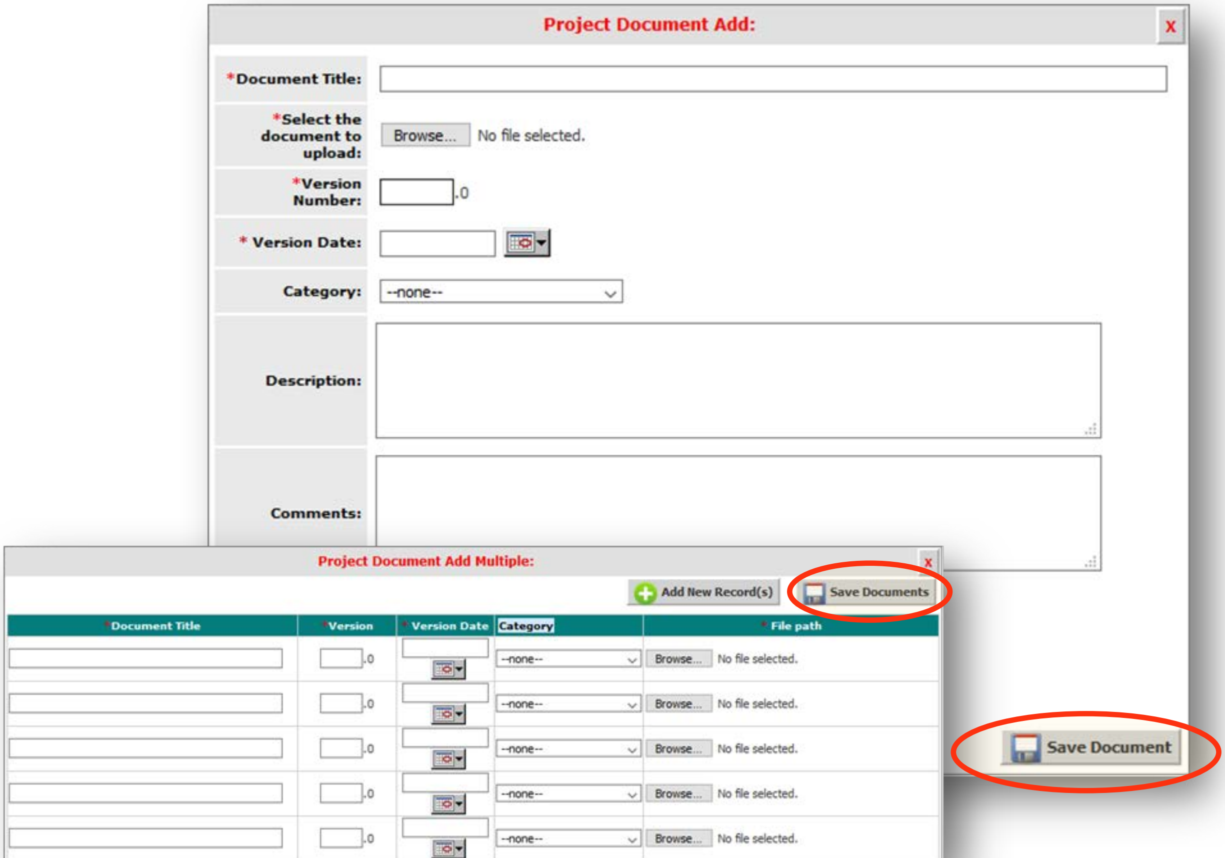
1.1b

- If *Other* is checked, fully describe the nature of the submission.



1.1c

- Click **Add a New Document** (or **Add Multiple Documents**).



Add Document Window and Add Multiple Documents Window

- o Browse and select file. Enter the document title, version number (begin with 1 and increase incrementally if adding later versions) and date (document creation; latest modification if revised), and iRIS document category. Click **Save Document** to return to the submission form.

1.2

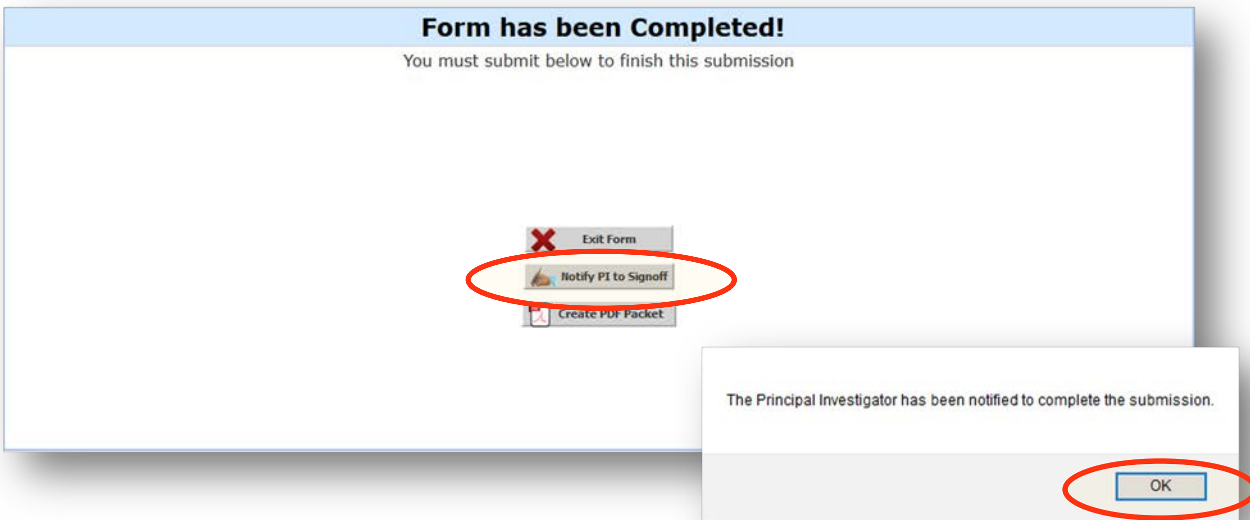
- A comment box is available for notes or clarification about the submission.
- Click **Save and Continue to Next Section**.

Sign

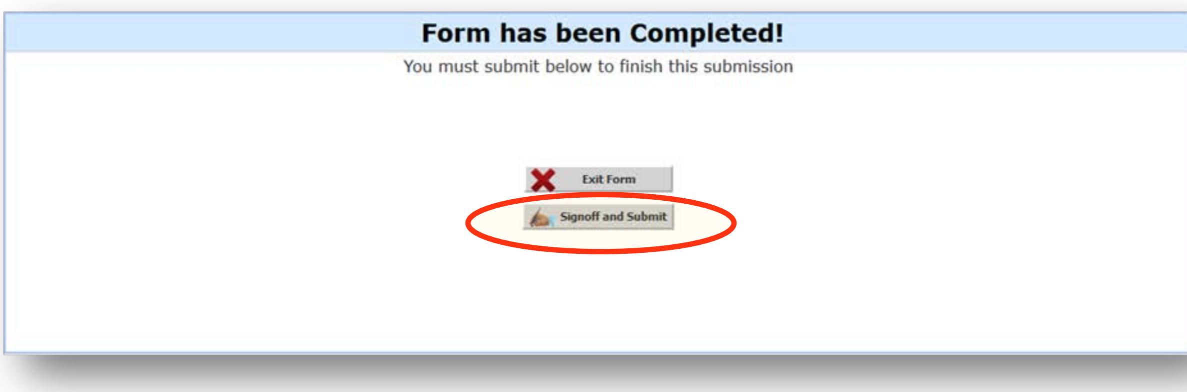
Submission Signoff

When the submission form is electronically signed by the principal investigator or administrative assistant, it is automatically sent to Sponsored Programs.

Signoff and Submit



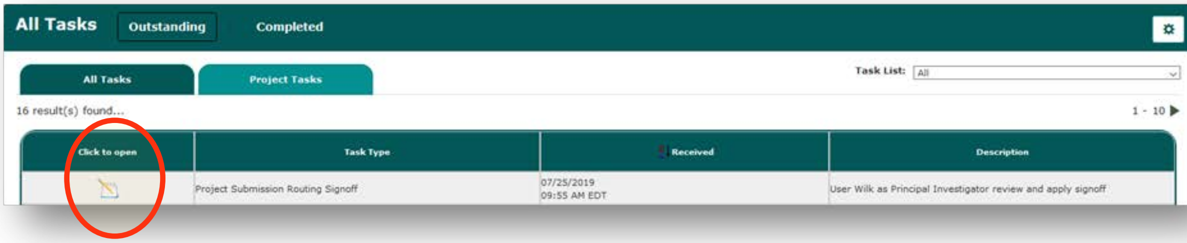
Screens for other than PI or administrative assistant



Screen for PI or administrative assistant

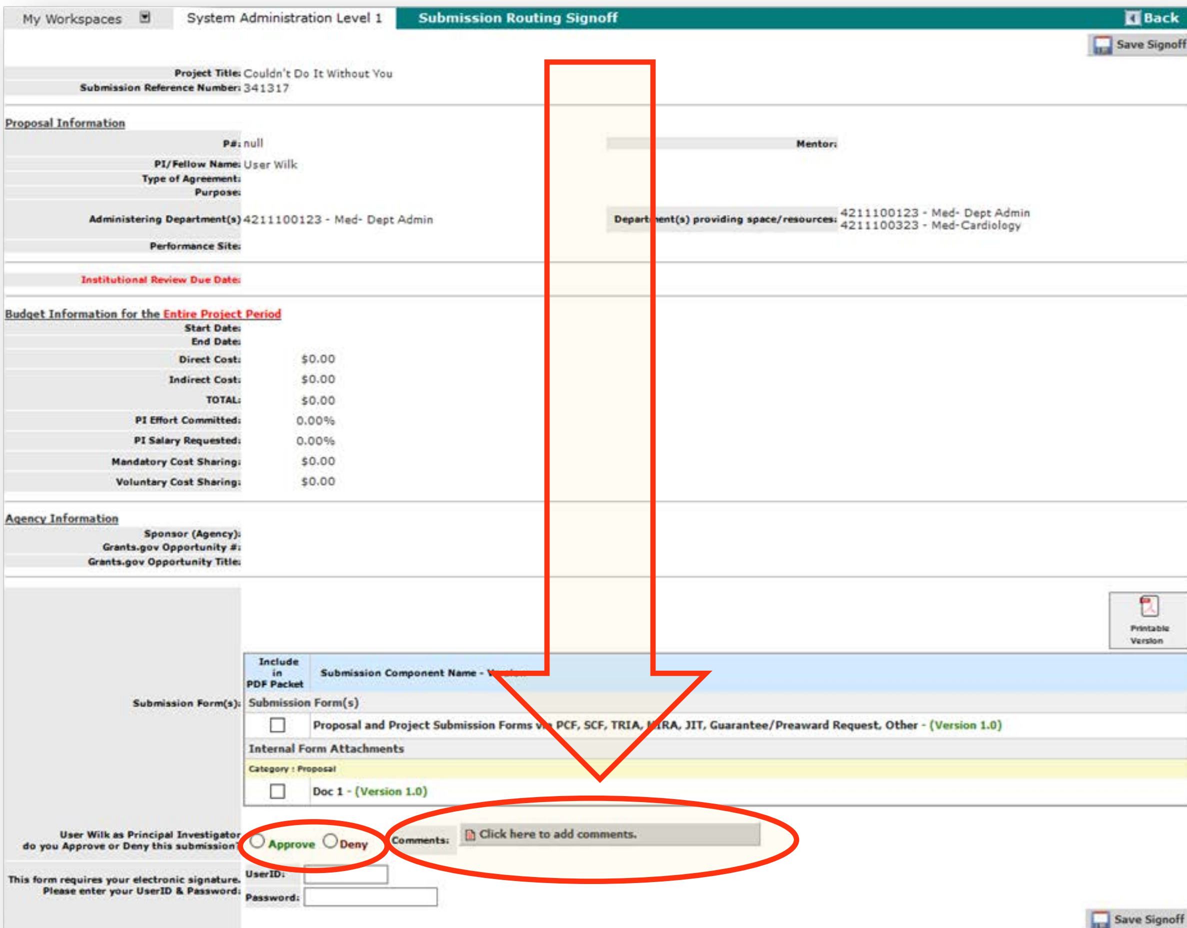
- The form completion screen for individuals without submission rights will send notification to the PI. Click **Notify PI to Signoff**, then **OK**, then **Back** or **Logout**. The form completion screen for the PI (full submission rights) will allow signoff. Click **Signoff and Submit**.

PI Submission Signoff



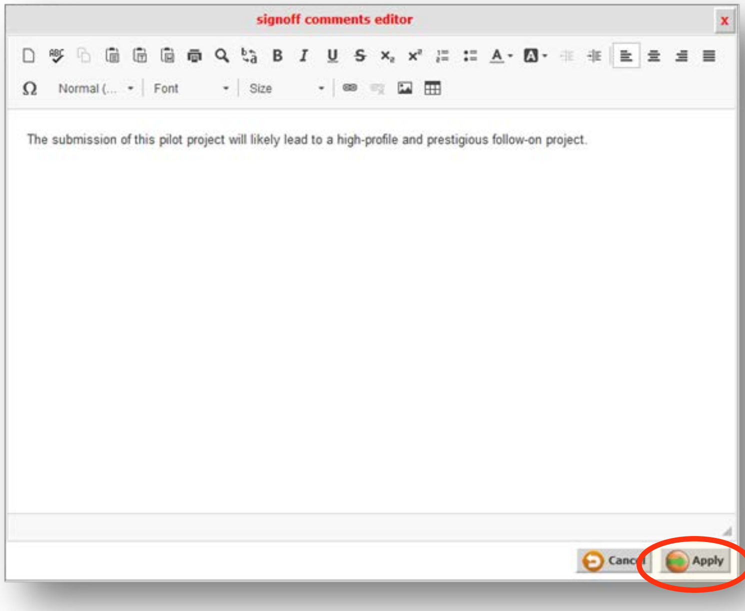
PI's Task for Signoff

- PI will be notified by email of a new task on his/her iRIS workspace. Press **Click to Open**.



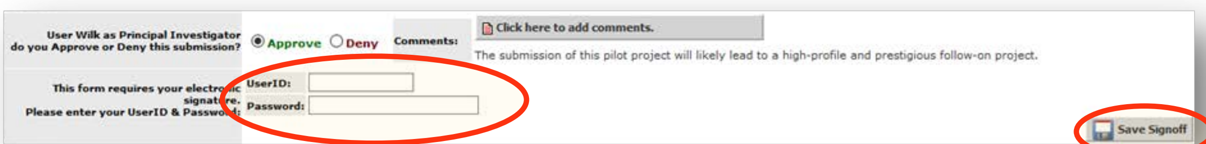
Submission Routing Signoff for PI

- Scroll down. Click **Approve** to allow submission or **Deny** to disallow submission of the form.
- To enter an explanation, press **Click Here to Add Comments**.



Signoff Comments Editor Window

- Type or paste comments, recommendations or questions about this submission. When done, click **Apply** to return to the submission routing signoff screen.



Submission Routing Signoff Screen

- Enter user ID and password. Then click **Save Signoff**.

Submission to Sponsored Programs is Complete

Project Workspace Project Panel

- Your **Short Form–Proposal & Project Submission** has been forwarded to Sponsored Programs. The project team has been notified by email, and project workspace reflects the status.
- Click **Logout**.

ePROPOSAL

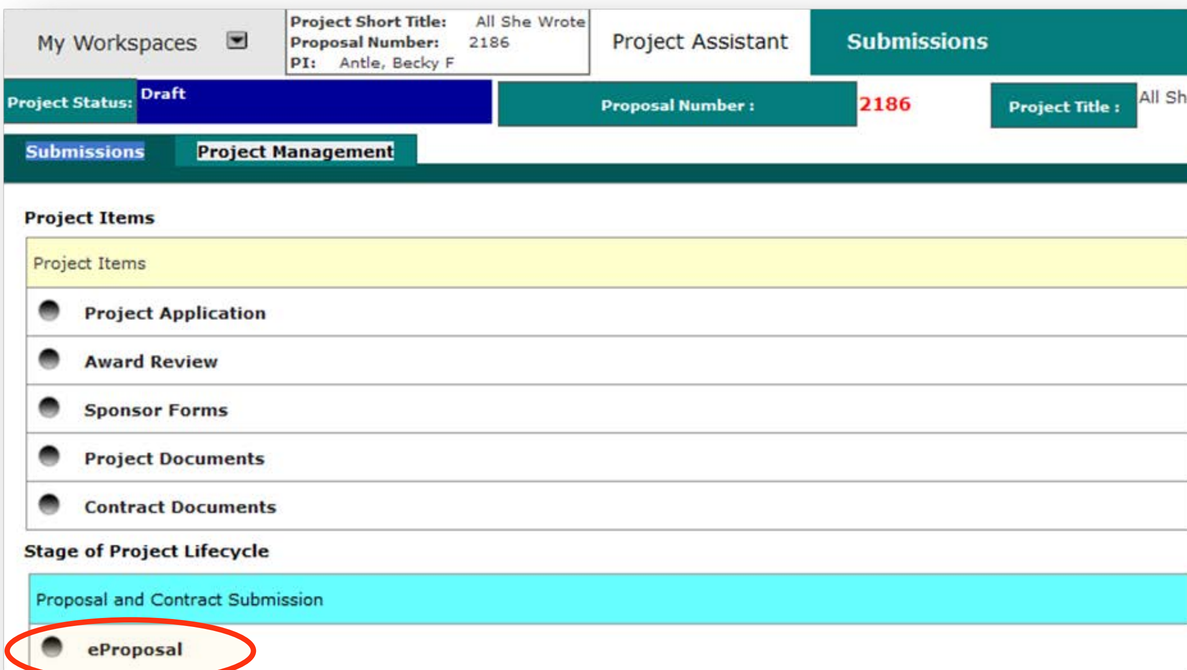
Create Answer Submit Sign

eProposal Overview

Once a project shell is established, the eProposal form can be built with information to be submitted to a sponsor for funding consideration or to begin agreement negotiations.

Create

Create an eProposal



Project Submissions Screen

- After a project application shell has been created, navigate to its submissions screen.
- Click **eProposal**.

- Click **Add a New Form** to begin the eProposal (the version list will show any existing forms of this type for this project).

Note: iRIS forms are built interactively. Responses to questions determine the appearance of subsequent questions. Although all questions are described in the following pages, not all questions will appear on every form.

Answer

1.0 Project Details

1.1 Purpose


1.0 Project Details

1.1 Purpose

Project Purpose is based upon the primary intent of the project or program (i.e., the basic purpose or primary reason for carrying out the activity/work). For detailed definitions of the items below, please click on the orange question mark at the right hand side of this question.

- Research and Development
- Research Training
- Instruction
- Public Service
- Clinical Trial
- Clinical Research/Development
- Student Financial Aid
- Other Sponsored Activity

1.1

- Choose the primary purpose of the project.

1.2 Study Type *(Clinical Only)*

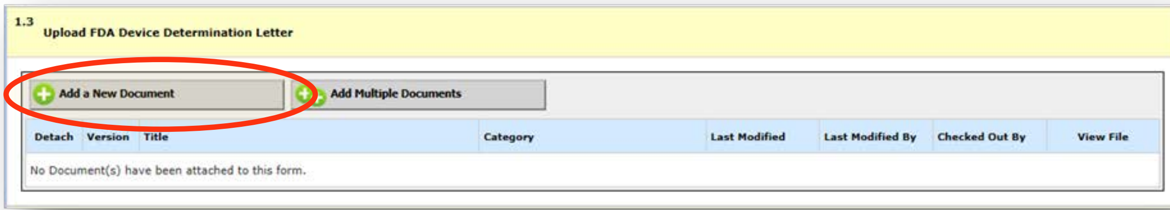

1.2 Type of Study (Check all that apply)

- Chart review
- Device study
- Drug study
- Observational study
- Registry of data or information
- Repository of tissue or biological samples
- Specimen study
- Other

1.2

- If *clinical trial* or *clinical research/development* is chosen as purpose, additional questions will appear to further define the project. Choose all relevant descriptions. Provide details if asked.

1.3 Device Determination (*Clinical Device Study Only*)



1.3

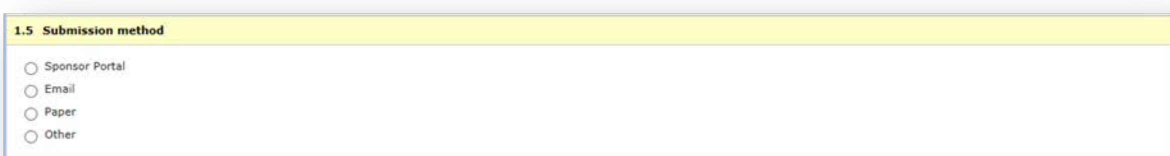
- Upload FDA device determination letter.

1.4 Start/End Dates

1.4

- Enter the project start and end dates.

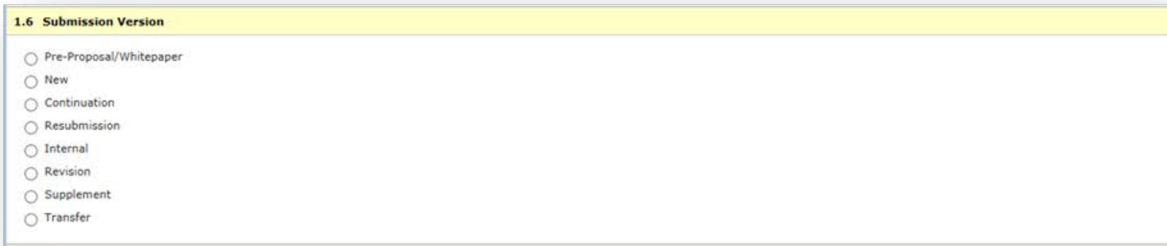
1.5 Submission Method



1.5

- Choose the method by which the project will be submitted to sponsor. Provide details if asked.

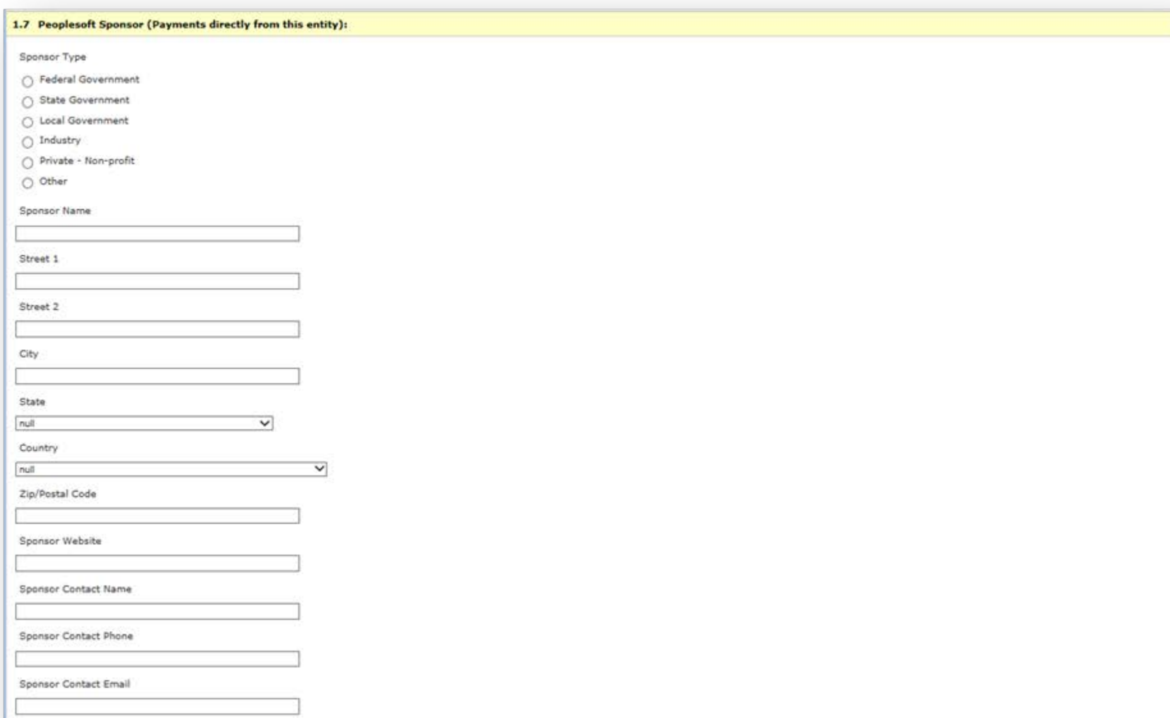
1.6 Submission Version



1.6

- Choose the version of this project submission. Provide details if asked.

1.7 Sponsor



1.7

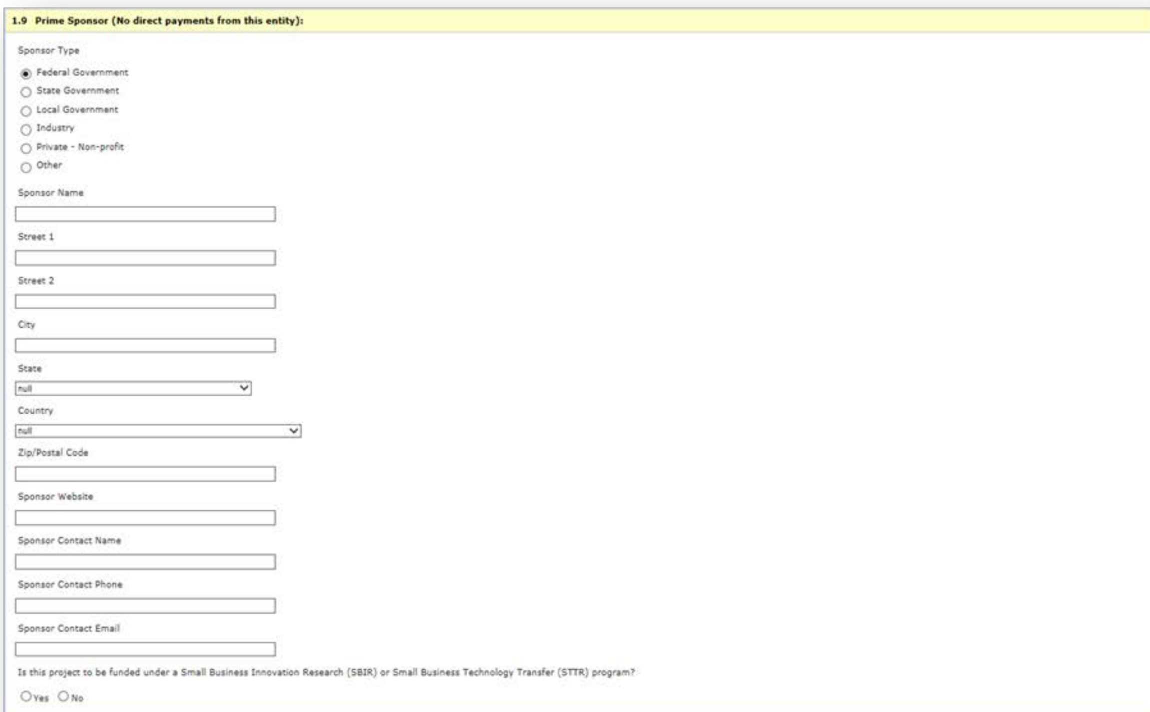
- Enter information about the sponsor who will be paying UofL directly (also known as "PeopleSoft sponsor" because of its designation in the PeopleSoft system). For sponsors other than federal, enter the address and contact information.

1.8 Flowthrough

1.8

- Indicate if flow-through funding will be involved (funding passed through an intermediary entity).

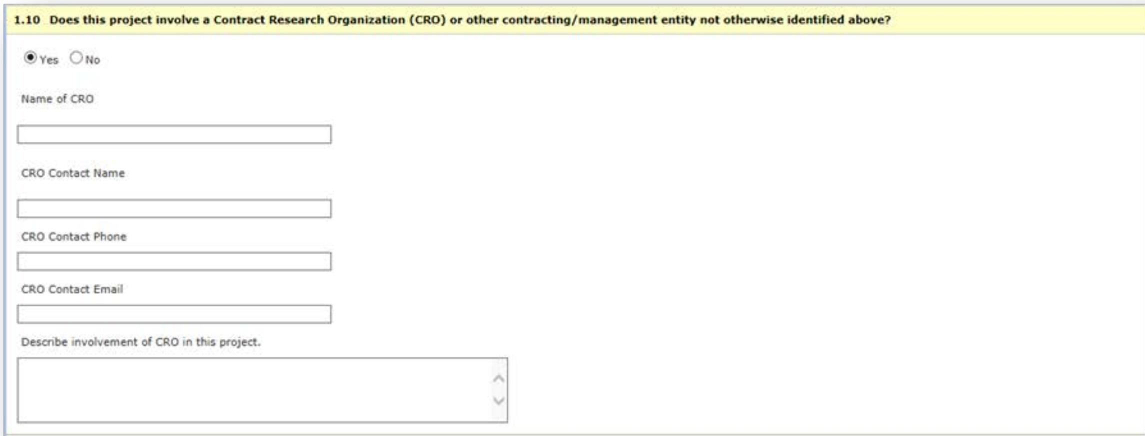
1.9 Prime Sponsor *(Flowthrough Only)*



1.9

- Enter information about the prime sponsor. For prime sponsors other than federal, enter the address and contact information. Provide details about the Small Business Innovation Research (SBIR) or Small Business Technology Transfer (STTR) program (if applicable).

1.10 Contracting/Management Entity *(Clinical Only)*



1.10

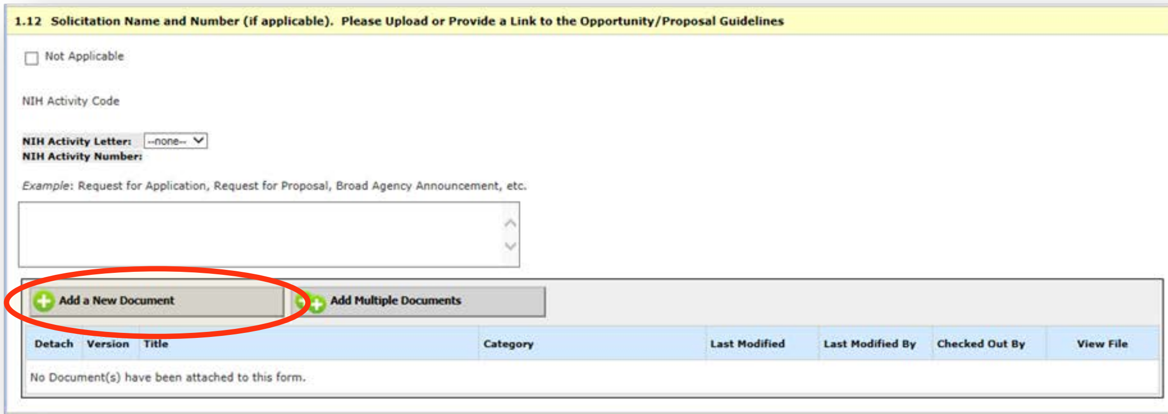
- If a contract research organization (CRO) or other contracting/management entity not already identified will be involved, provide details including the address and contact information.

1.11 Due Date

1.11

- Enter the date(s) and time(s) the submission is due to the sponsor and prime sponsor (If applicable).

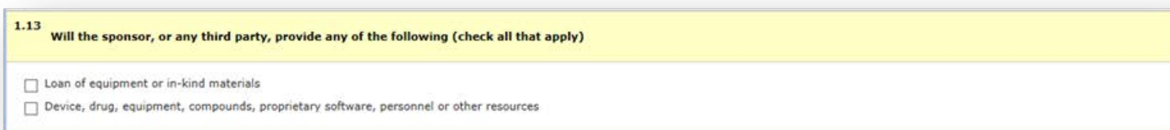
1.12 Solicitation



1.12

- Enter the solicitation name and number (if applicable). Upload or provide a link to the opportunity/proposal guidelines.

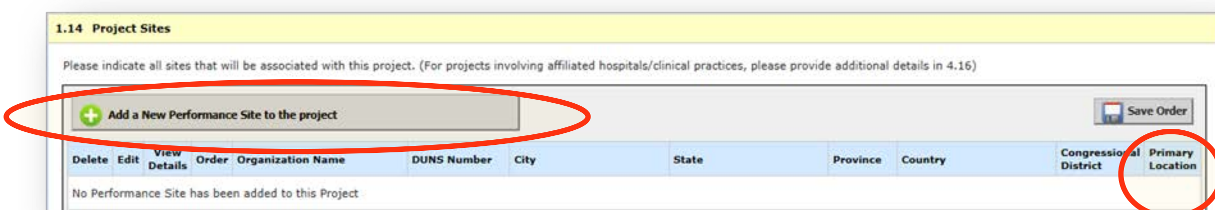
1.13 Sponsor Resources



1.13

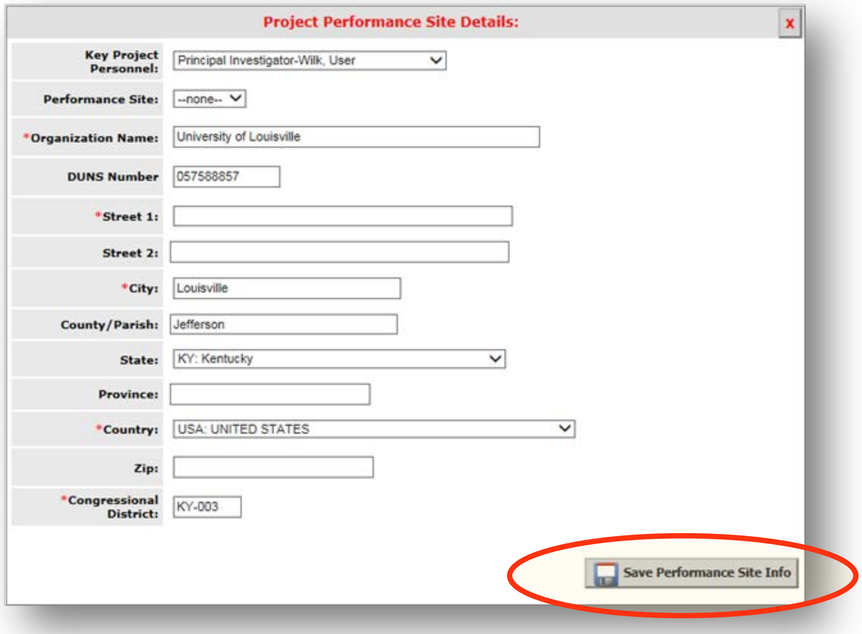
- Indicate if the sponsor or any third party will be providing resources for the project.

1.14a Map Performance Sites to Online Forms *(Grants.gov Only)*



1.14a

- If *iRIS-to-Grants.gov portal* is chosen as submission method, click **Add a New Performance Site** to list every site (including subrecipient sites) and to map them to the system-to-system submission form. Once added, check **Primary Location** to designate the appropriate site.



Performance Site Detail Window

- The address in the new site window defaults to Louisville. You may complete and save the site as presented or replace the information in the window to represent a different site. Click **Save Performance Site Info** to return to the eProposal form.

1.14b Location

1.14b

- Indicate whether the majority of the project will be performed on or off campus. Provide details if asked.

1.15 Site Details *(Clinical Only)*

1.15 Site Details

Please indicate all Project sites and provide relevant details.

- [ ] UofL Facilities
- [ ] University Medical Center, Inc. (ULH/Brown Cancer)
- [ ] KentuckyOne Health (Jewish Hospital & St. Mary's Healthcare)
- [ ] Norton Healthcare
- [ ] VA Medical Center
- [ ] Private Practice
- [ ] Other Sites

1.15

- If *clinical trial* or *clinical research/development* is chosen as purpose, additional questions will appear regarding site details. Choose each applicable site and specify what activities will take place there, who will perform them, and what sponsor-provided resources will be used or stored there.

1.16 Compliance

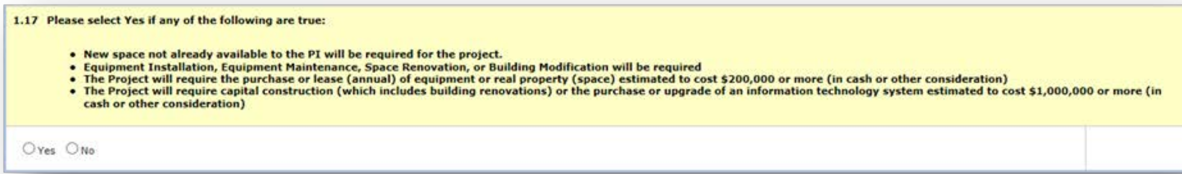
1.16 Does the Project involve any of the following?
Check all that apply. List of Select Agents

- [ ] Human Subjects
- [ ] Vertebrate Animals
- [ ] Radioisotopes
- [ ] Recombinant DNA
- [ ] Mutagenic, Carcinogenic, Toxic Substances/Materials
- [ ] Human Blood, Tissues, Cells, or Other Potentially Infectious Materials (OPIM)
- [ ] Pathogenic Organisms
- [ ] Select Agents
- [ ] Export Control, Foreign National Participation, or Publication Restrictions
- [ ] None of the Above

1.16

- Indicate all applicable compliance issues.

1.17 Resources

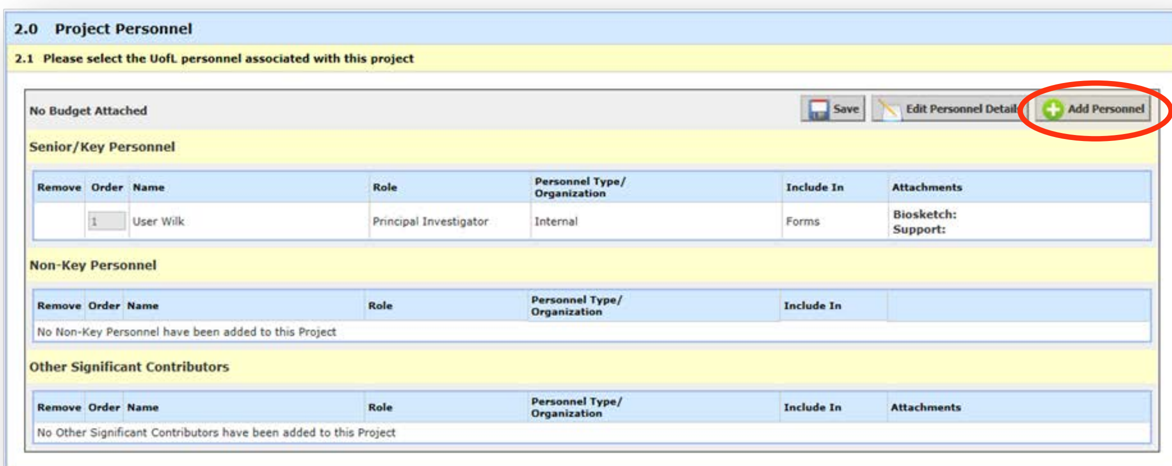


1.17

- Indicate if additional resources will be needed.
- Click **Save and Continue to Next Section**.

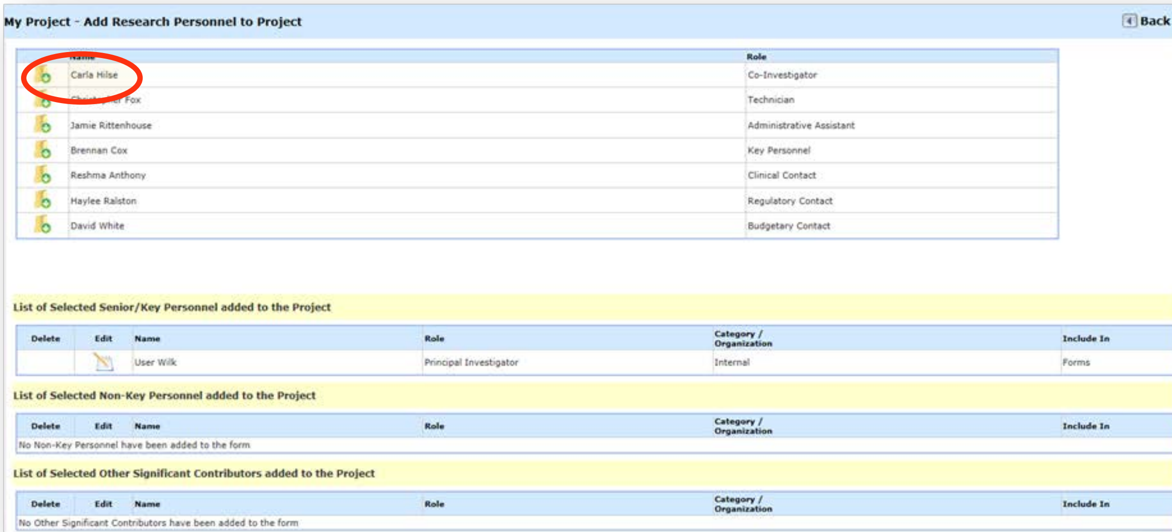
2.0 Project Personnel

2.1 Map Personnel to Online Forms *(Grants.gov Only)*



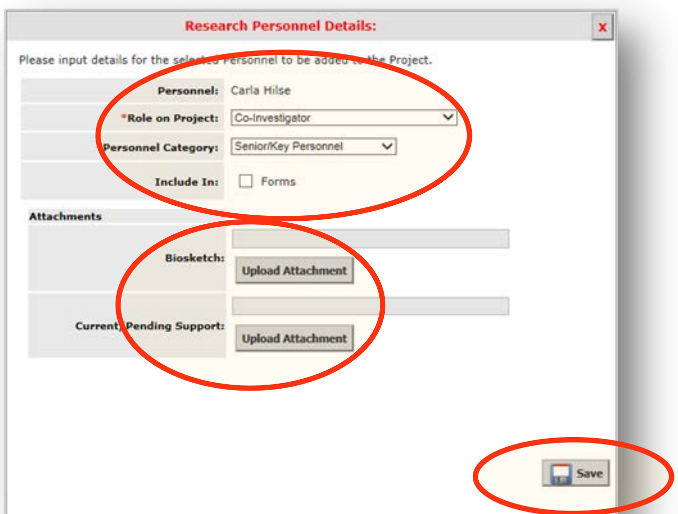
2.1

- If *iRIS-to-Grants.gov portal* is chosen as submission method, click **Add Personnel** to list every individual on the project and to map them to the system-to-system submission form.



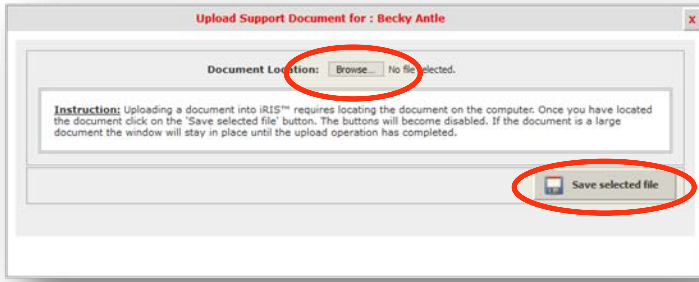
Add Research Personnel Window

- Individuals given access in the shell may be added as project personnel. Click the arrow icon before the name of each participant to move the individual into the proper personnel category.



Research Personnel Detail Window

  - Role, personnel category and inclusion in forms can be adjusted inside each personnel detail window. Biosketch and current/pending support documents can be uploaded.



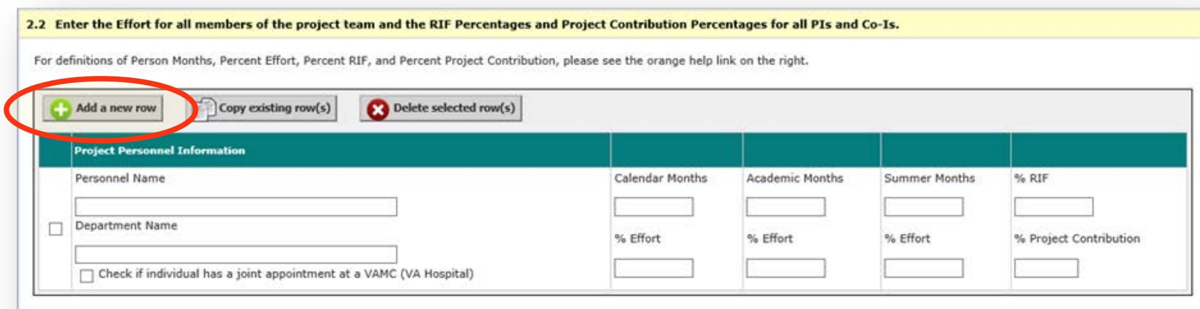
Upload Support Document Window

- Click **Browse**, select file, then click **Save Selected File**.

- Click **Save** to move the individual into the selected personnel category.

- When all actionable names have been moved, click **Back** to return to the eProposal form.

2.2 Personnel Details

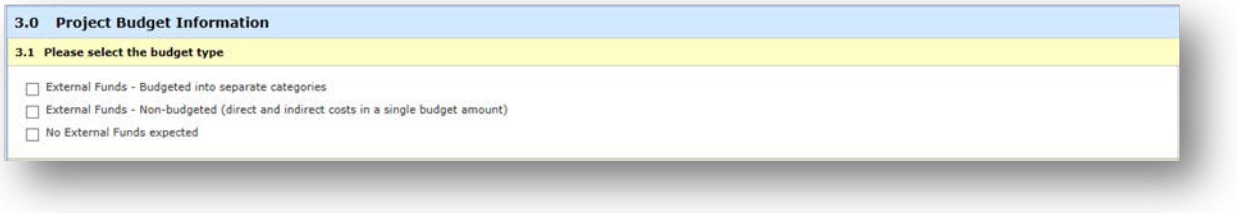


2.2

- Click **Add a New Row** to enter each project participant.
- For each participant, enter the name, department, and indicate if the individual has a joint appointment with a Veterans Affairs Medical Center.
- For each participant, enter the amount of effort he/she will provide to the project.
- For each PI and Co-I, enter the percent RIF and percent project contribution for which he/she will be responsible.
- Click **Save and Continue to Next Section**.

3.0 Project Budget Information

3.1 External Funds


3.0 Project Budget Information

3.1 Please select the budget type

- [ ] External Funds - Budgeted into separate categories
- [ ] External Funds - Non-budgeted (direct and indirect costs in a single budget amount)
- [ ] No External Funds expected

3.1

- Indicate if external funds will be budgeted (categorized), nonbudgeted (not categorized), or if no external funds are expected.

3.2 Mandatory Cost Share


3.2 Does the Sponsor require Cost Share on this Project?

○ Yes ○ No

3.2

- Indicate if the budget includes mandatory cost share. Provide details if asked.

3.3 Voluntary Committed Cost Share

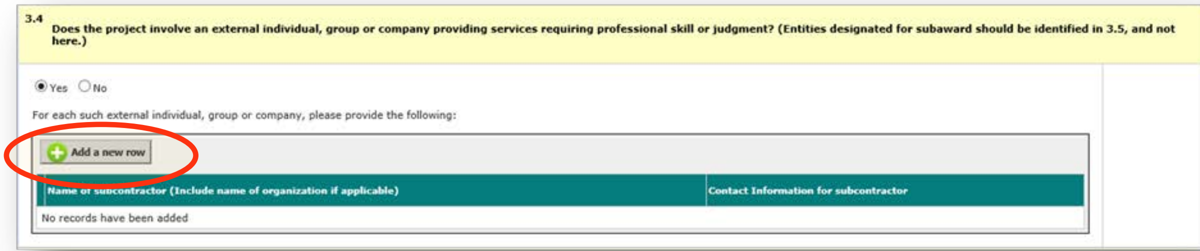

3.3 Does the Project include any Cost Share not mandated by the Sponsor?

○ Yes ○ No

3.3

- Indicate if the budget includes voluntary committed cost share. (Example: Portion of salary above a sponsor's salary cap.) Provide details if asked.

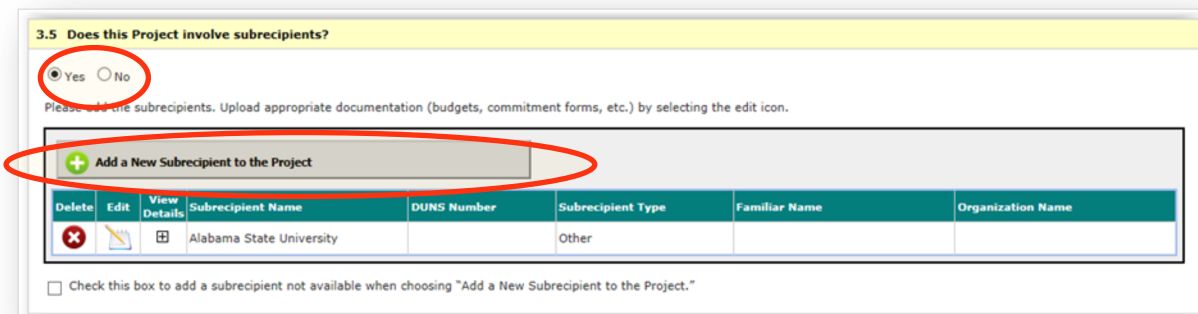
3.4 Contracts



3.4

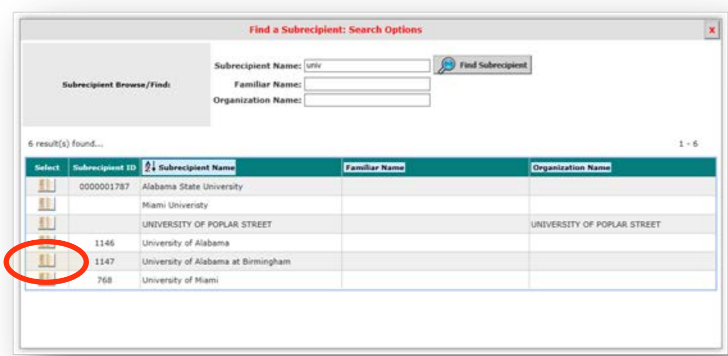
- Indicate if applicable and click **Add a New Row** to enter each contractor to the project.
- Provide individual/organization names and contact information.

3.5 Subrecipients



3.5a

- Indicate if applicable and click **Add a New Subrecipient** to enter each subrecipient to project.

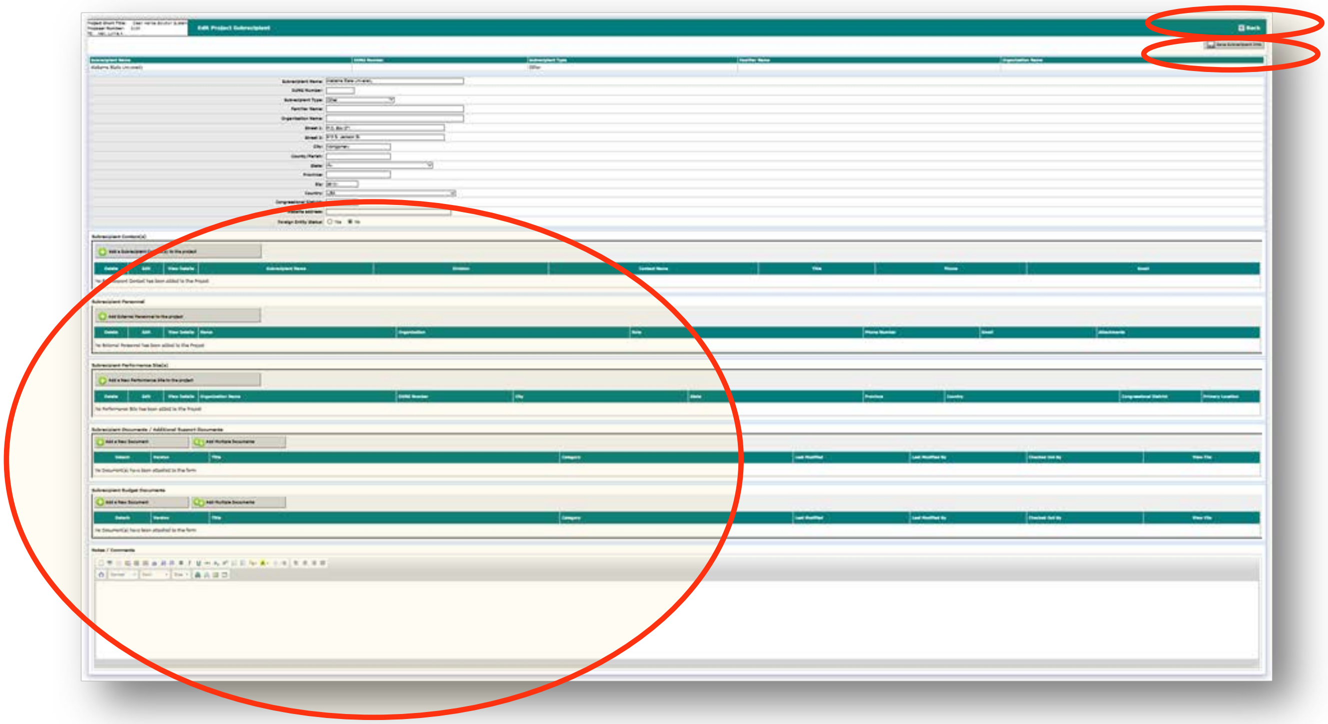


Subrecipient Search Window

- o Search directory by name to locate an entity. Click **Select** to choose it and to return to the eProposal form. (See below if entity is not available in search options.)

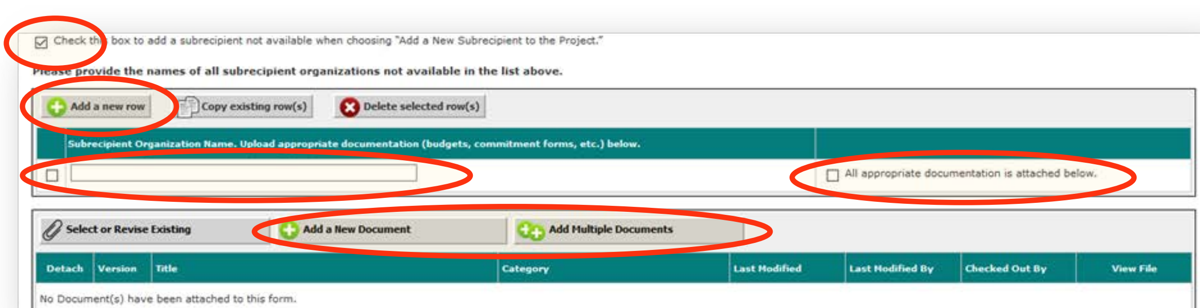
3.5b

- Once added, click **Edit** to complete the entry for each subrecipient listed.



Edit Subrecipient Window

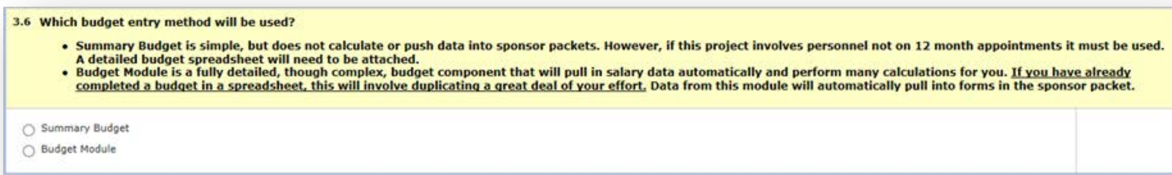
  - Enter subrecipient contacts, personnel, performance sites; upload commitment, support and budget documents. A comment box is available. Click **Save Subrecipient Info**. Click **Back** to return to the eProposal form.



3.5c

- To add a subrecipient not available in the search options, check the box so labeled.
- For each unlisted subrecipient, click **Add a New Row.** Enter subrecipient name. Click **Add a New Document** (or **Add Multiple Documents**) to upload commitment, support and budget documents (when done, check **All Appropriate Documentation is Attached Below** for each entity).

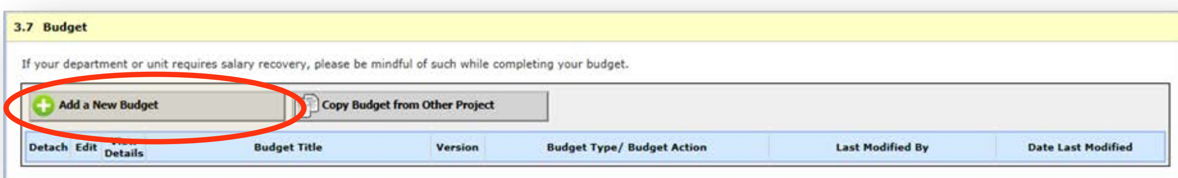
3.6 Budget Entry Method *(NIH Only)*



3.6

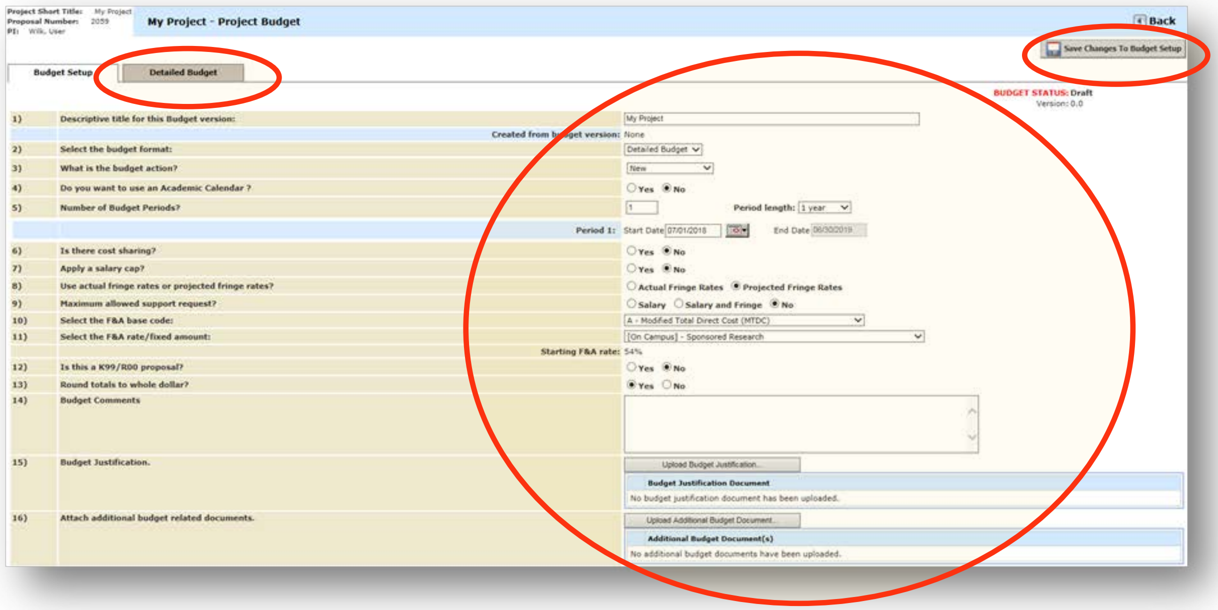
- If sponsor is NIH, choose a budget entry method. Choose budget module to automatically pull the budget into the sponsor packet. However, if the project involves personnel on other than 12-month appointments, the summary budget must be used.

3.7 Map Budget Module to Online Forms *(NIH Only)*

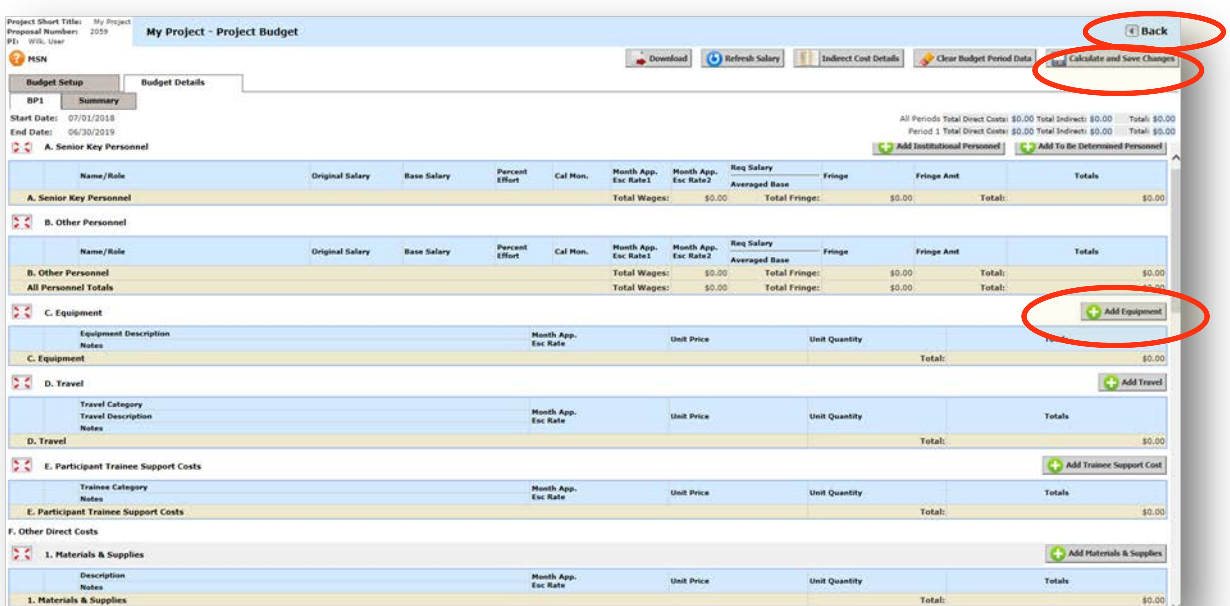


3.7

- Click **Add a New Budget**.



- Enter budget setup information.
- Click **Save Changes To Budget Setup**, and then click **Detailed Budget** tab.



- Click add buttons to include amounts in relevant direct cost categories and enter details.
- Click **Calculate and Save Changes** to have system automatically calculate indirect and total costs.
- Click **Back** twice to return to the eProposal form. (If the budget module has been used, the summary budget described below will not appear in the eProposal form.)

3.8 Summary Budget Indirect Cost Details


3.8 F&A (Indirect Costs)

F&A (Indirect) Cost Rate (%)

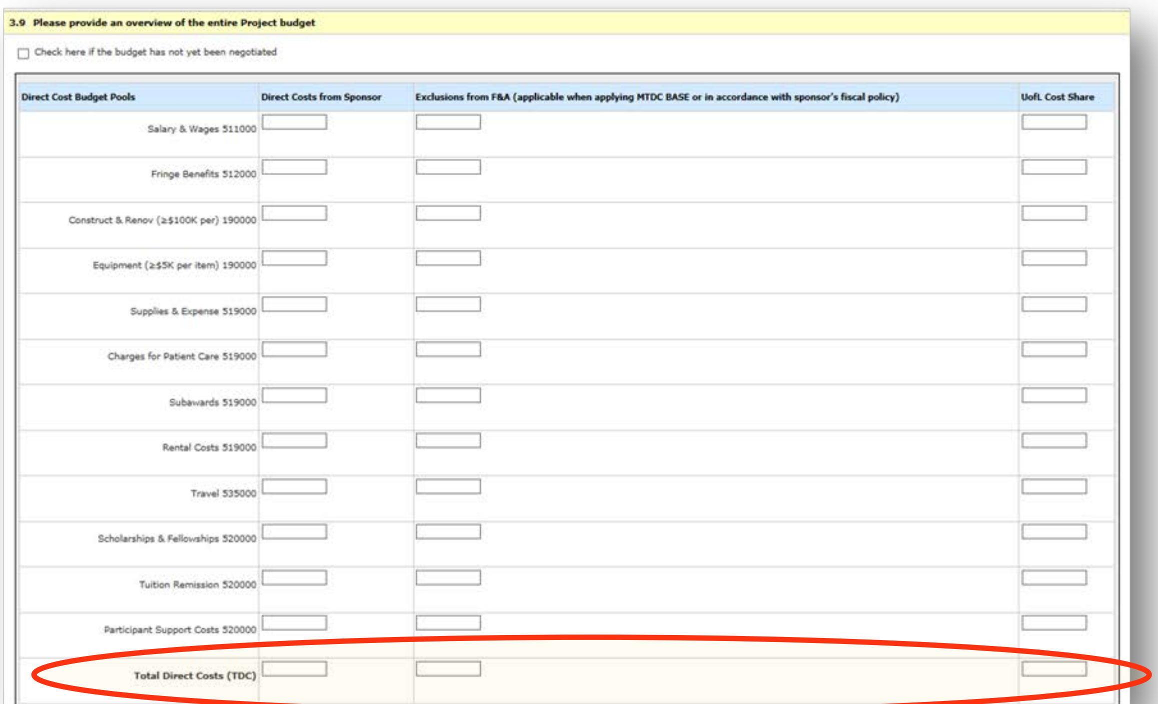
F&A (Indirect) Cost Type

--none--

3.8

- Enter the indirect cost rate and choose the indirect cost type.

3.9 Budget Overview


3.9 Please provide an overview of the entire Project budget

Check here if the budget has not yet been negotiated

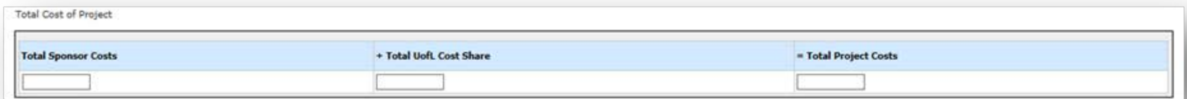
Direct Cost Budget Pools	Direct Costs from Sponsor	Exclusions from F&A (applicable when applying MTDC BASE or in accordance with sponsor's fiscal policy)	UofL Cost Share
Salary & Wages 511000			
Fringe Benefits 512000			
Construct & Renov (≥$100K per) 190000			
Equipment (≥$5K per item) 190000			
Supplies & Expense 519000			
Charges for Patient Care 519000			
Subawards 519000			
Rental Costs 519000			
Travel 535000			
Scholarships & Fellowships 520000			
Tuition Remission 520000			
Participant Support Costs 520000			
Total Direct Costs (TDC)			

3.9a

- Enter dollar amounts in applicable direct cost categories. Enter amounts from sponsor, amounts excluded from indirect cost calculation, and UofL cost share. Total each column.
- Note: Log in to the BI reporting system to verify participants' institutional base salary (IBS). Click **Public Reports**, then **iRIS Reports**, then **Institutional Base Salary Report**.

3.9b

- Enter the [indirect cost base](#) (total direct costs from sponsor minus any exclusions).
- Enter the indirect cost amount (base multiplied by indirect cost rate).
- Enter any [unrecovered indirect costs](#) from sponsor as well as from UofL cost share.



3.9c

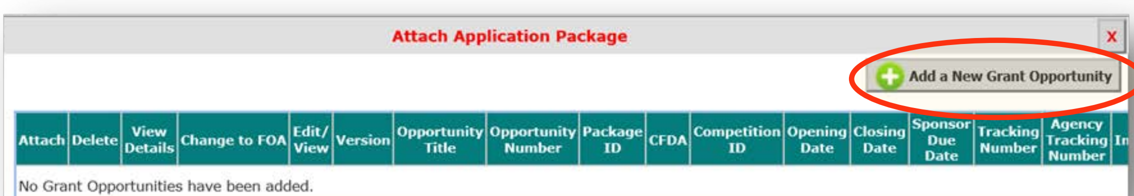
- Enter total costs from sponsor, total cost share from UofL, and the project grand total.
- Click **Save and Continue to Next Section**.

4.0 Sponsor Submission Forms

4.1 [Grants.gov Submission Package](#) *(Grants.gov Only)*

4.1a

- If *iRIS-to-Grants.gov portal* is chosen as submission method, press **Click Here to Attach a Grant Opportunity** to map to the system-to-system submission form.

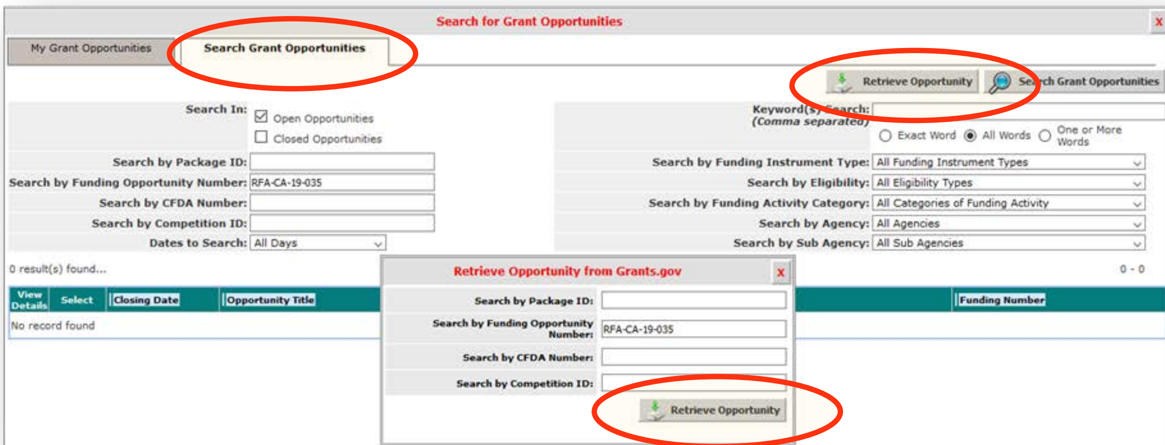


Attach Application Package Window

- o Click **Add a New Grant Opportunity**.

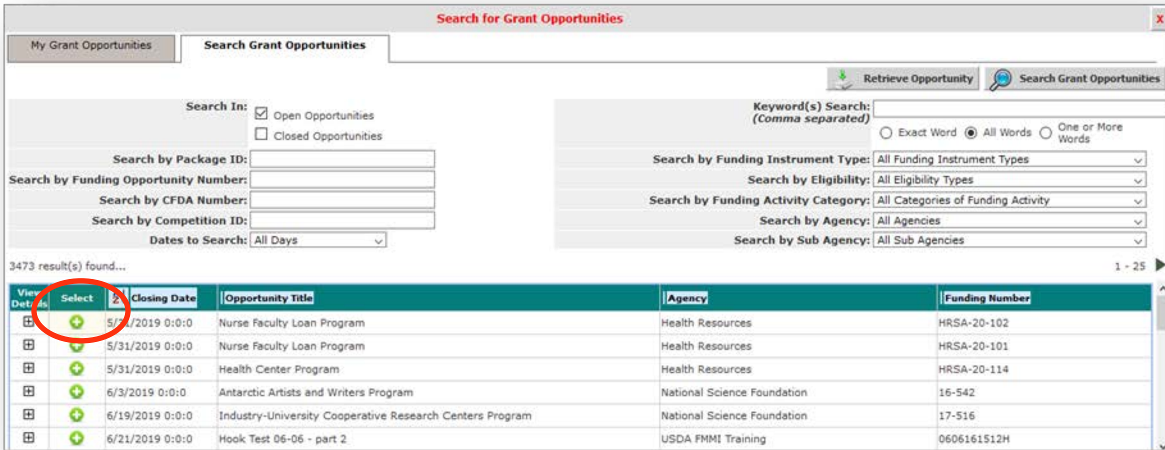
Grant Opportunity Search Window

- If already added to **My Grant Opportunities**, click **Select** to attach the opportunity to this eProposal.



Grant Opportunity Search and Retrieve Windows

- If no opportunity has been added to **My Grant Opportunities**, click **Search Grant Opportunities** tab.
    - Search the directory by any criteria listed to locate an opportunity. (Note: Opportunity Number field is case-sensitive.)
    - If iRIS has not previously searched for a particular opportunity (such as one recently posted), it may be necessary to click **Retrieve Opportunity** in the search window and again in the retrieve window.

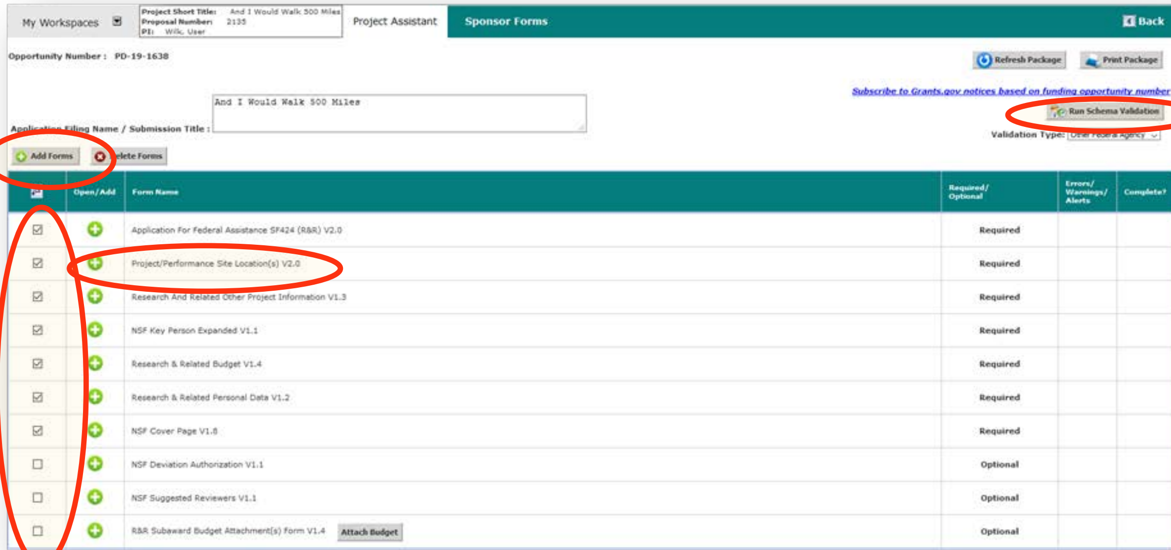


Grant Opportunity Search Window

- Click **Select** to choose a listing and to return to the eProposal form.

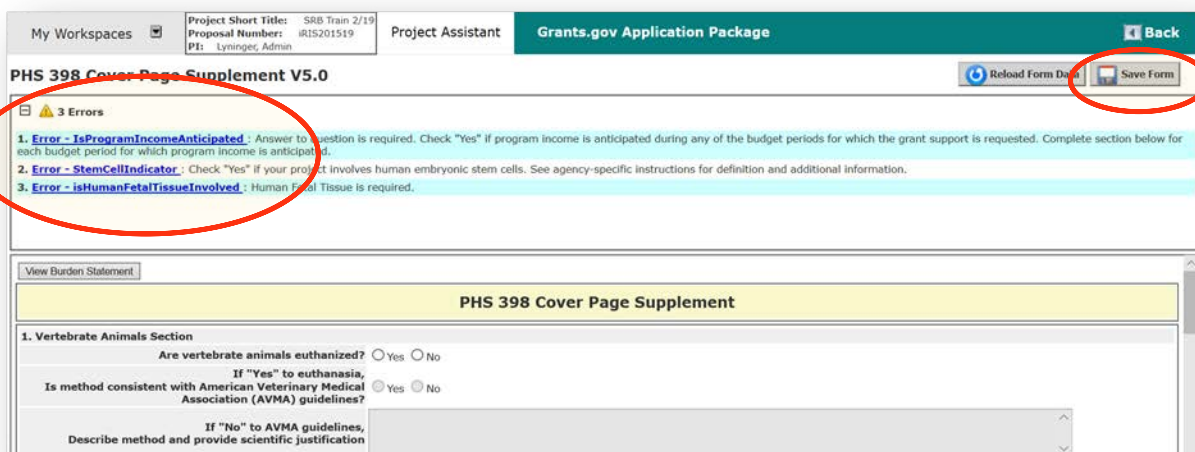
4.1b

- Click **Edit/View** to edit the applicable federal forms.



Sponsor Forms Window

- Required forms are checked by default. Check any others you may need to add to the submission packet. Then click **Add Forms**.
- Click **Run Pre-Validation** for a real-time check of information currently in the forms against the agency requirements.
- Click **Open/Add** to edit a specific form.

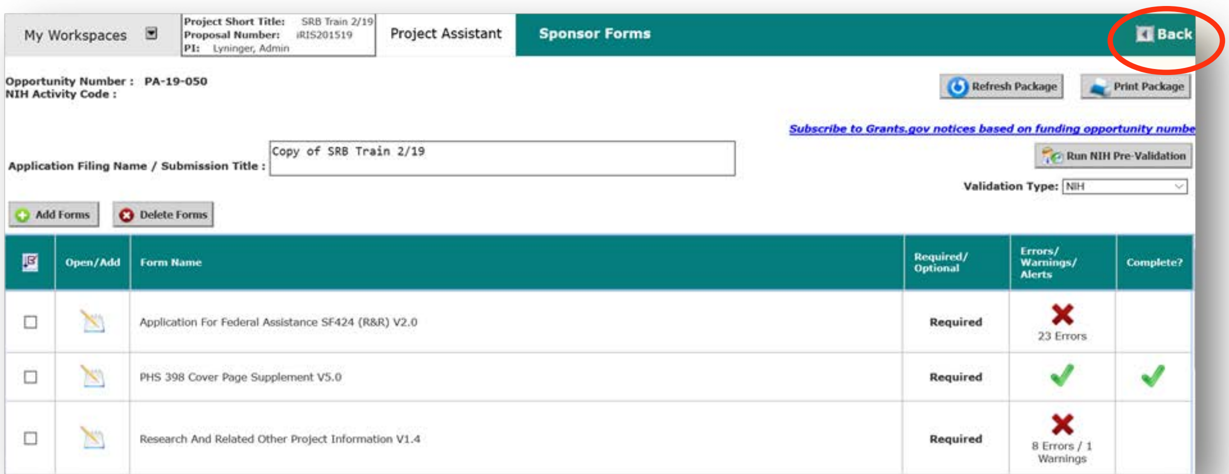


Specific Form Window

- Expand the error note to view a listing of errors within a form and to access hyperlinks to each.
- At any point, click **Save Form** to save any changes.

Specific Form Window

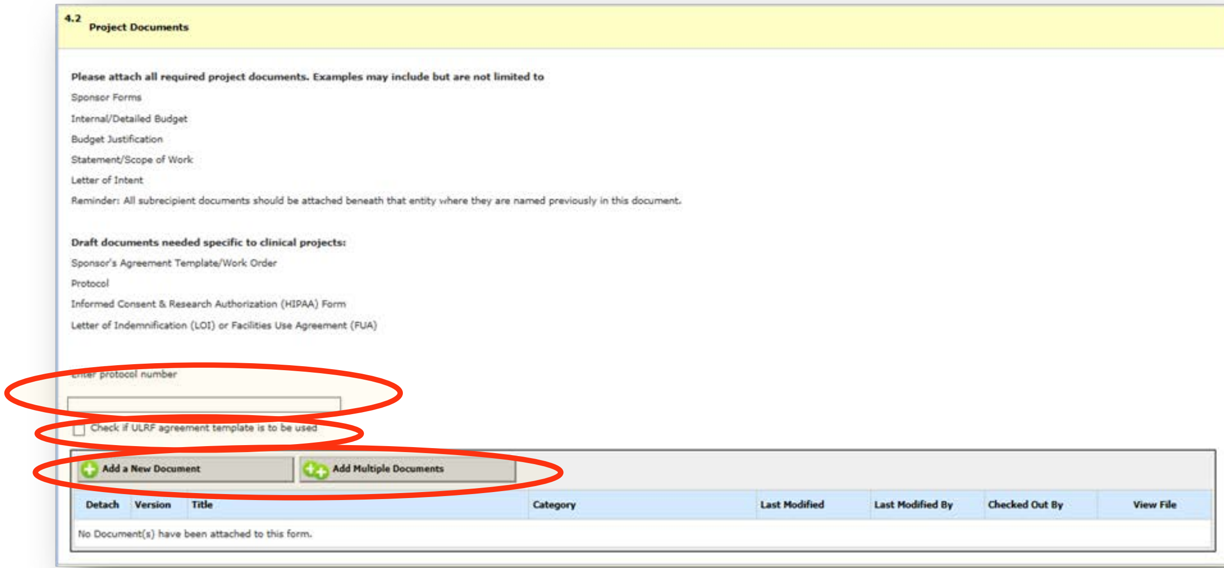
- When the form has been fully filled out, click **Mark Complete**. This will help keep track of which forms are done and which need further editing.
- Click **Back** to return to the sponsor forms window.



Sponsor Forms Window

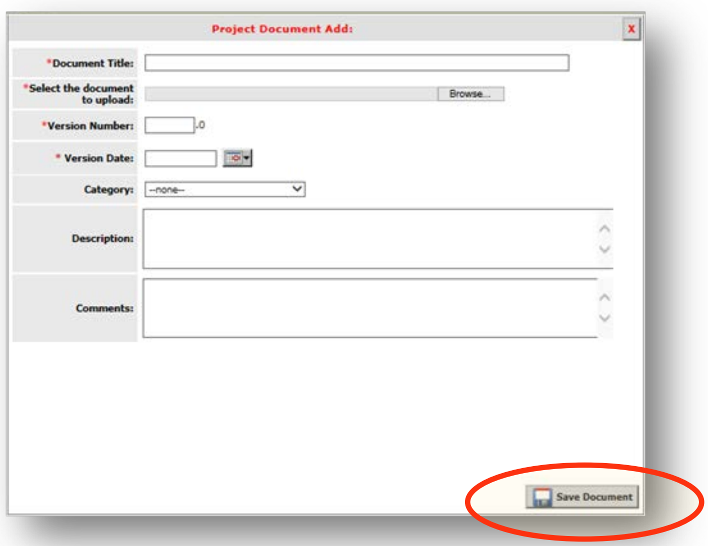
- Applicable forms will be marked either as complete or as having errors. Edit each form as necessary. To return to the eProposal form, click **Back**.

4.2 Project Documents



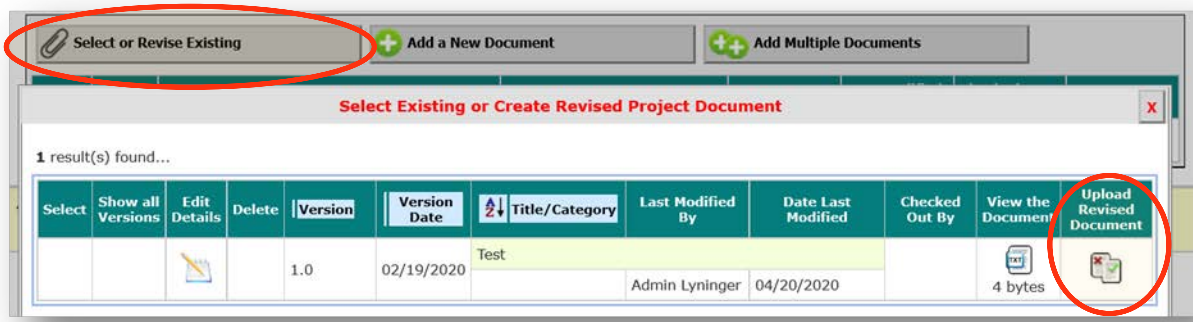
4.2

- Provide the sponsor's protocol number (if applicable).
- Indicate if a UofL agreement template is to be used instead of sponsor's template (if applicable).
- Click **Add a New Document** (or **Add Multiple Documents**) to upload all required project documents that have not yet been uploaded.



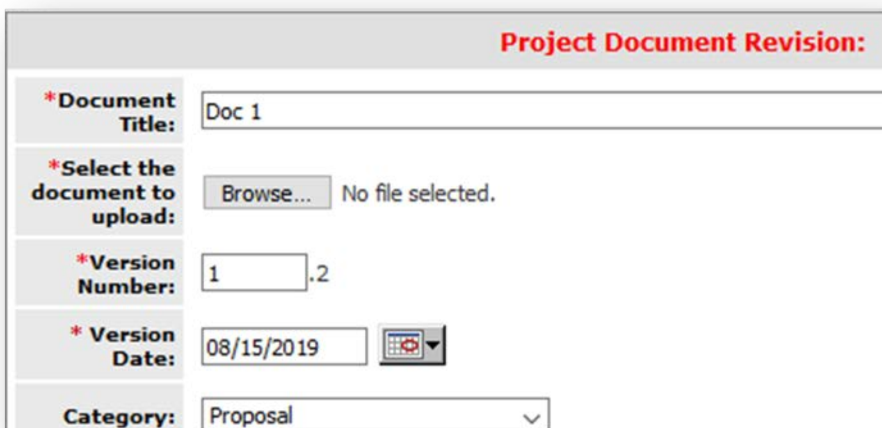
Add Document Window

- o Browse and select file. Enter document title, version (begin with 1, increase incrementally for later versions), date (creation or latest modification), and iRIS document category (*Proposal*). Click **Save Document** to return to eProposal.



Select or Revise Existing Project Document Windows

- To update a document already loaded into the overall project record, click **Select or Revise Existing**.
    - Click **Upload Revised Document**.



Project Document Revision Window

- Upload the revised document by browsing and selecting file. iRIS displays the document title and category, and appends the next decimal to the version number. Enter latest modification date. In the case of multiple uploads of the same document, the one with the highest version number/latest date will be submitted to sponsor. Click **Save Document** to return to the eProposal form.

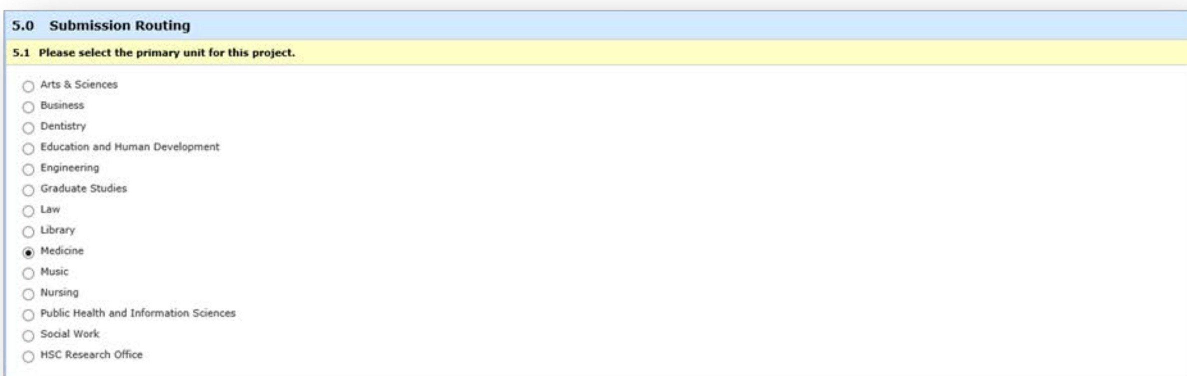
4.3 Additional Comments

4.3

- A comment box is available for notes or clarification about the project.
- Click **Save and Continue to Next Section**.

5.0 Submission Routing

5.1 Primary Unit



5.1

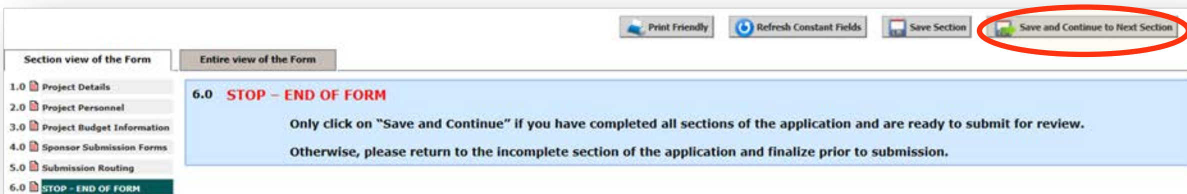
- Choose one area to serve as the primary unit for the project.
- Click **Save and Continue to Next Section**.

Submit

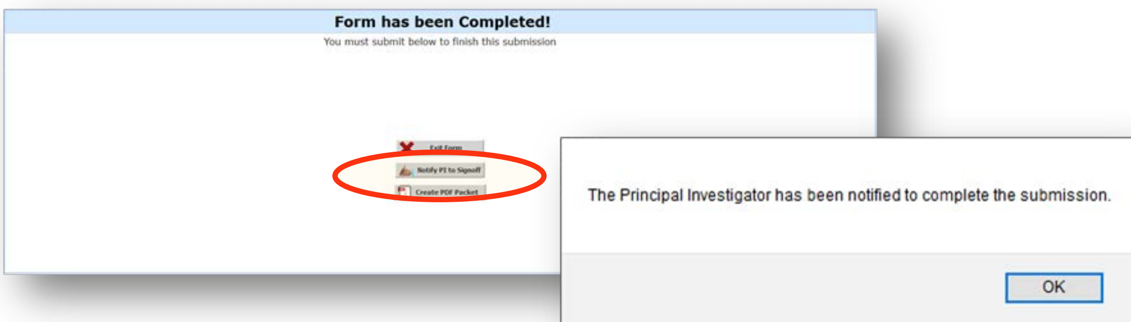
6.0 Submit

When the eProposal is electronically signed by the principal investigator, it is automatically sent to Sponsored Programs.

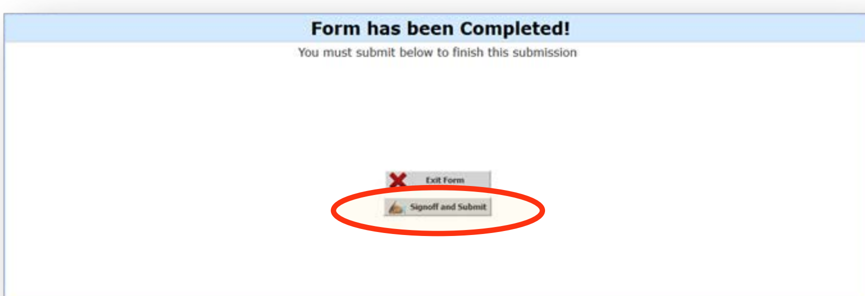
6.0 eProposal Signoff and Submit



- Click **Save and Continue to Next Section**.



Screens for administrative assistant

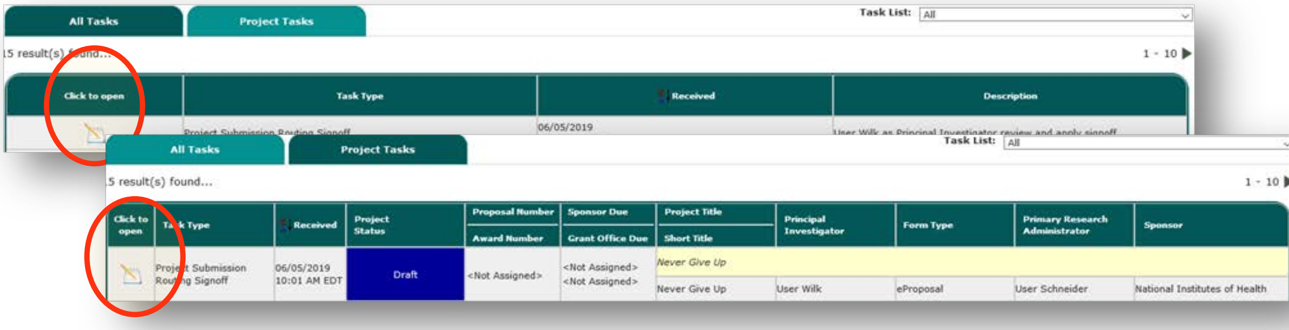


Screen for PI

- The form completion screen for individuals with administrative assistant rights will send notification to the PI. Click **Notify PI to Signoff**, then **OK**, then **Back** or **Logout**. The form completion screen for the PI (full submission rights) will allow signoff. Click **Signoff and Submit**.

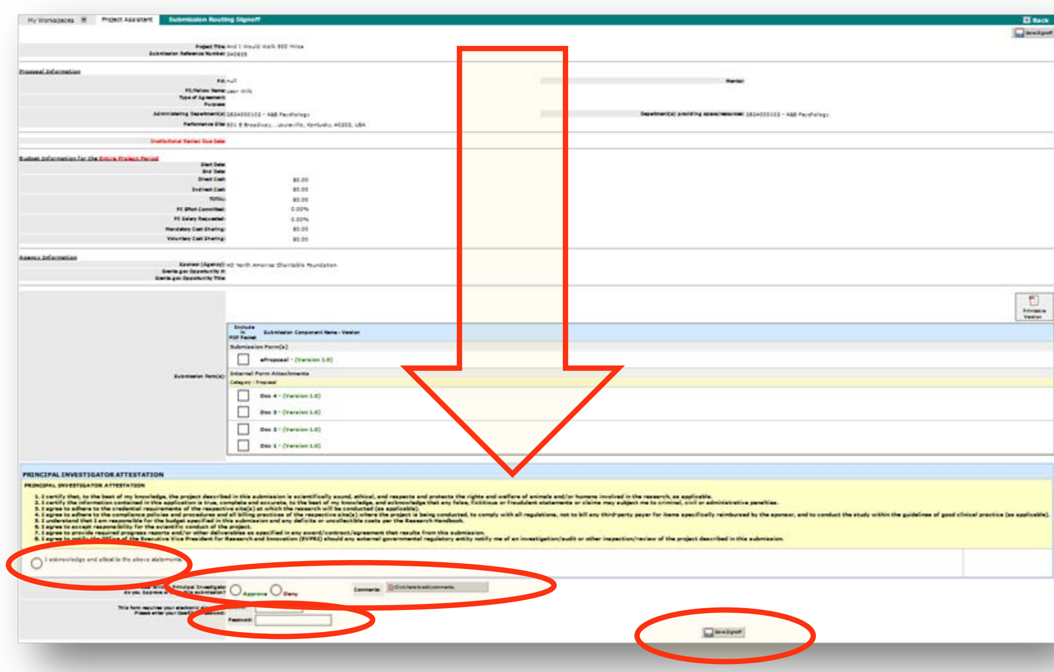
Sign

Submission Routing Signoff



PI's Task for Signoff—All Tasks Tab and Project Tasks Tab

- PI will be notified by email of a new task on his/her iRIS workspace. Press **Click to Open**.



Submission Routing Signoff for PI

- Scroll down. The PI's signoff screen contains an attestation. Check "*I acknowledge and attest to the above statements*."
- Click **Approve** to allow submission or **Deny** to disallow submission of the form. IMPORTANT: To enter an explanation, press **Click Here to Add Comments** and click **Apply** when finished.
- Enter user ID and password. Then click **Save Signoff**.

Workflow–Submission Tracking

Workflow–Submission Tracking Screen

- The eProposal has been forwarded to Sponsored Programs. From Project Workspace project panel press **Click to Open** the project, then click **Track Location** from Outstanding Submissions. The **Workflow–Submission Tracking** screen displays the status of the request. Click **Back** to return to workspace or click **Logout**.

NONDISCLOSURE AGREEMENT

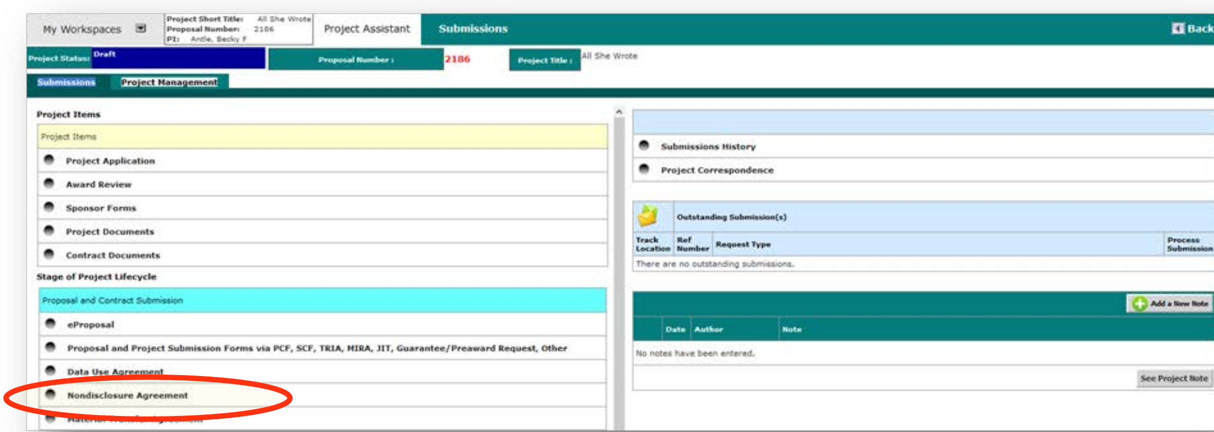
Create Answer Sign

Nondisclosure Agreement Overview

Once a project shell is established, a nondisclosure agreement may be requested via this form. It provides pertinent project information needed for a contract specialist to begin agreement negotiations.

Create

Create a Nondisclosure Agreement



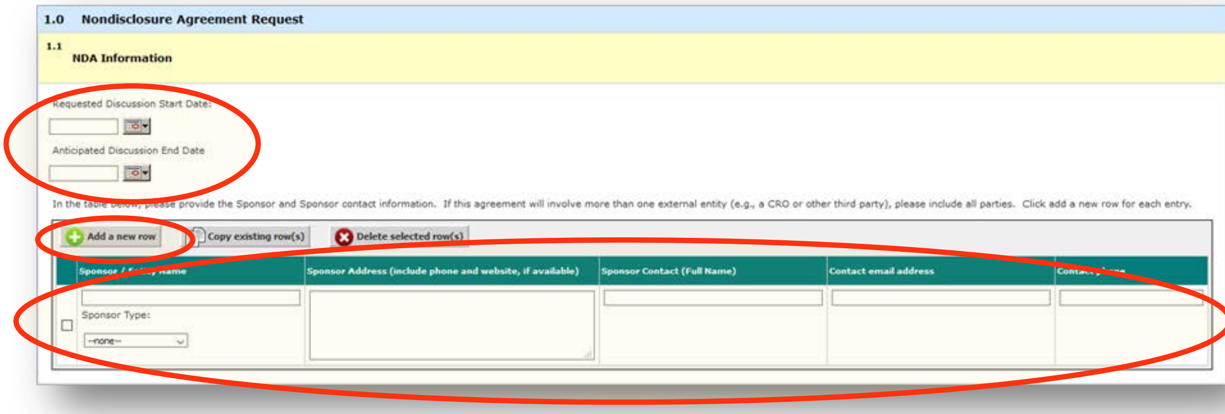
- After a project application shell has been created, navigate to its submissions screen.
- Click **Nondisclosure Agreement**.

- Click **Add a New Form** to begin the nondisclosure request (the version list shows any existing forms of this type for this project).

Answer

1.0 Nondisclosure Agreement

1.1 NDA Information


1.0 Nondisclosure Agreement Request

1.1 NDA Information

Requested Discussion Start Date:

Anticipated Discussion End Date

In the table below, please provide the Sponsor and Sponsor contact information. If this agreement will involve more than one external entity (e.g., a CRO or other third party), please include all parties. Click add a new row for each entry.

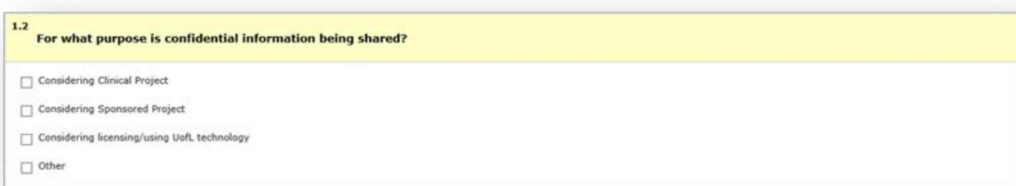
Add a new row | Copy existing row(s) | Delete selected row(s)

Sponsor / Entity Name	Sponsor Address (include phone and website, if available)	Sponsor Contact (Full Name)	Contact email address	Contact phone
Sponsor Type: --none--				

1.1

- Enter start and end dates for discussions to be covered by the nondisclosure agreement.
- Click **Add a New Row** to enter the sponsor and any other external party to the nondisclosure agreement. Include sponsor type, organization/individual names and contact information.

1.2 Purpose

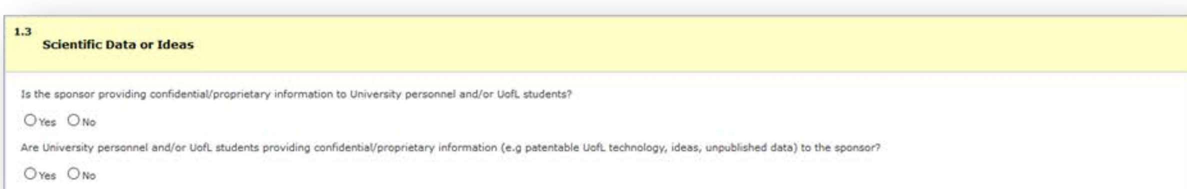

1.2 For what purpose is confidential information being shared?

- Considering Clinical Project
- Considering Sponsored Project
- Considering licensing/using UofL technology
- Other

1.2

- Choose all applicable purposes for establishing a nondisclosure agreement. Provide details.

1.3 Scientific Data or Ideas


1.3 Scientific Data or Ideas

Is the sponsor providing confidential/proprietary information to University personnel and/or UofL students?

Yes No

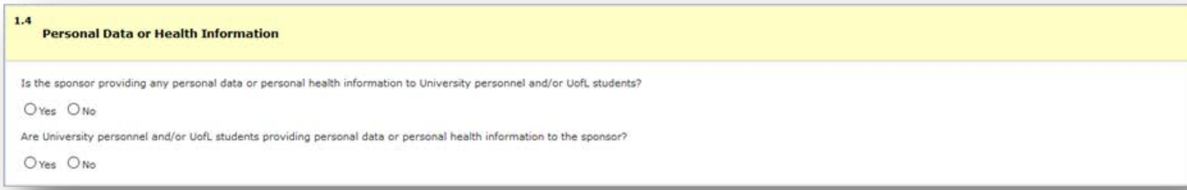
Are University personnel and/or UofL students providing confidential/proprietary information (e.g patentable UofL technology, ideas, unpublished data) to the sponsor?

Yes No

1.3

- Indicate the direction(s) of flow for scientific data or ideas.

1.4 Personal Data or Health Information



1.4

- Indicate the direction(s) of flow for personal data or personal health information.

1.5 Team Members Receiving Information

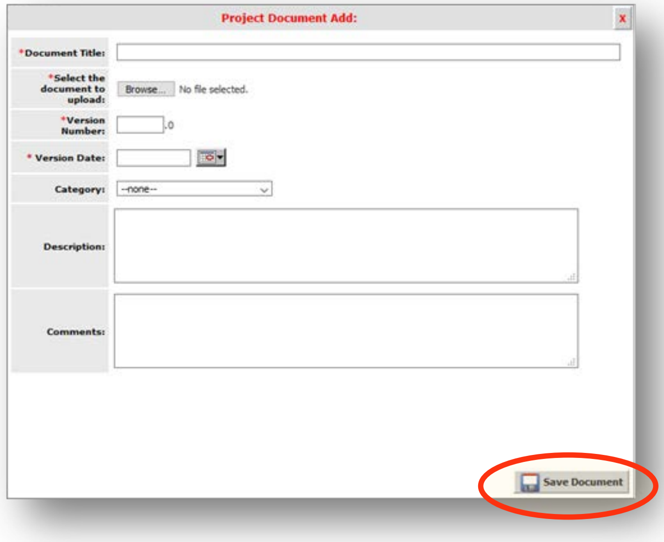
1.5

- Indicate any student team members or team members who are not UofL employees (hospital staff, for example) who may need to receive sponsor information.

1.6 Upload Sponsor Template

1.6

- Click **Add a New Document** to upload sponsor's template in Word format.



Add Document Window

- o Browse to find the document. Enter **Document Title**.
- o Enter **Version Number** (begin with 1; increase incrementally to add later versions).
- o Enter **Version Date** (date of document creation; latest modification if revised).
- o Select *Proposal* for **Category**. Click **Save Document** to return to NDA form.

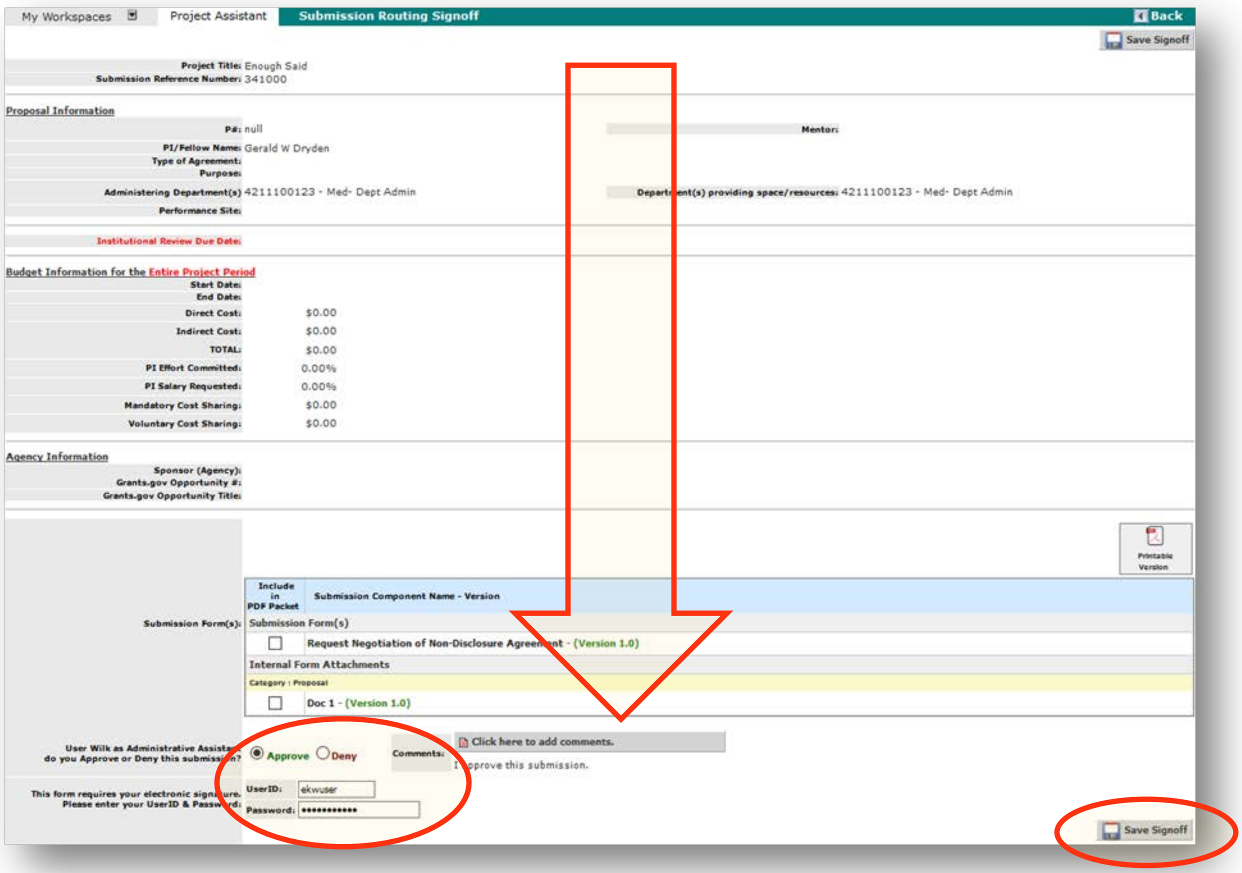
- Click **Save and Continue to Next Section**.

Sign

Nondisclosure Signoff and Submit

- Click **Signoff and Submit**.

Submission Routing Signoff



- Scroll down. Check **Approve**. Enter user ID and password. Click **Save Signoff**.

Workflow–Submission Tracking

- Submission to Sponsored Programs is complete. From Project Workspace project panel press **Click to Open** the project, then click **Track Location** from Outstanding Submissions. The **Workflow–Submission Tracking** screen displays the status of the request. Click **Back** to return to workspace or click **Logout**.

DATA USE AGREEMENT

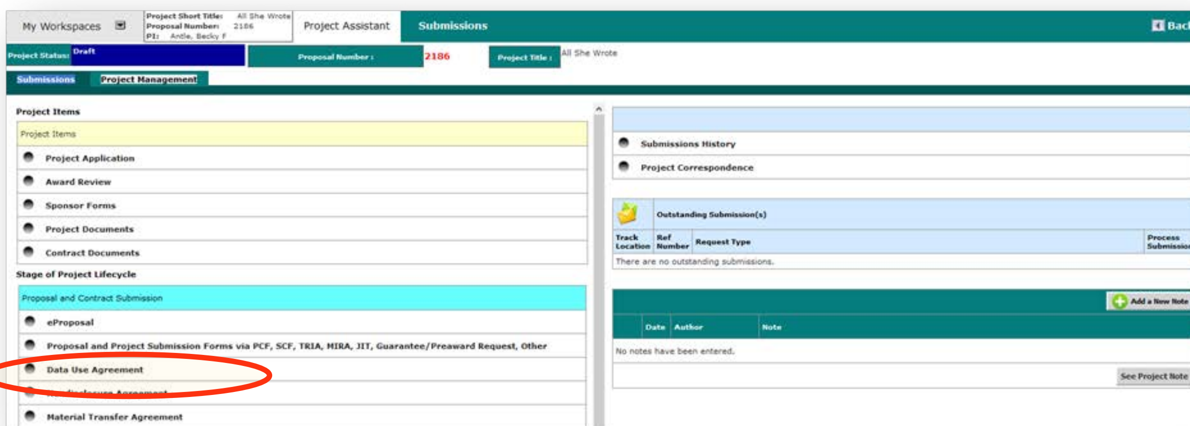
Create Answer Sign

Data Use Agreement Overview

Once a project shell is established, a data use agreement may be requested via this form. It provides pertinent project information needed for a contract specialist to begin agreement negotiations.

Create

Create a Data Use Agreement



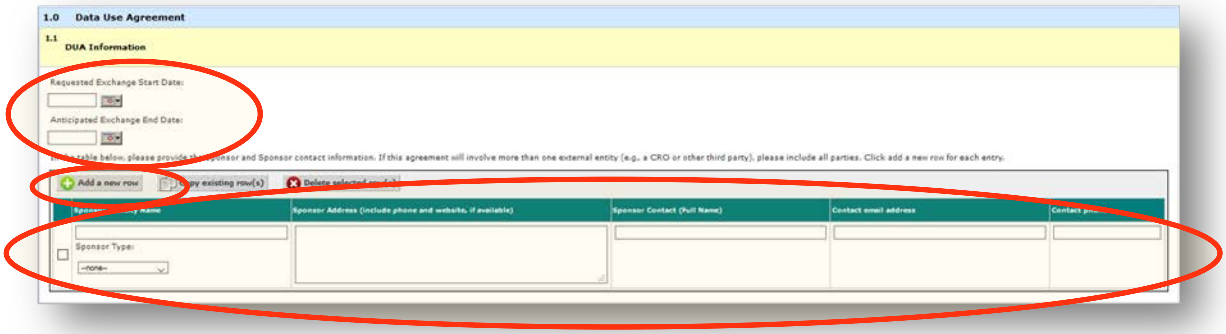
- After a project application shell has been created, navigate to its submissions screen.
- Click **Data Use Agreement**.

- Click **Add a New Form** to begin the data use request (the version list shows any existing forms of this type for this project).

Answer

1.0 Data Use Agreement

1.1 DUA Information



1.1

- Enter start and end dates for exchange to be covered by the data use agreement.
- Click **Add a New Row** to enter the sponsor and any other external party to the data use agreement. Include sponsor type, organization/individual names and contact information.

1.2 Purpose

1.2

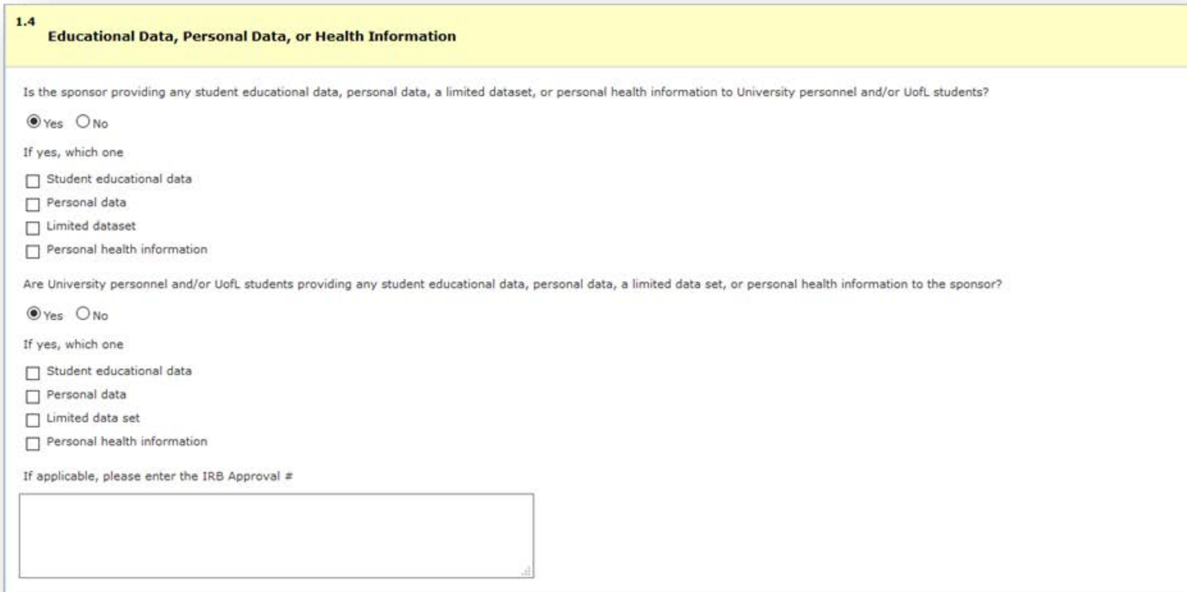
- Describe the purpose for sharing data. Indicate if the exchange relates to an existing sponsored project and provide the chartfield number.

1.3 Scientific Data or Ideas

1.3

- Indicate the direction(s) of flow for scientific data or ideas.

1.4 Educational Data, Personal Data, or Health Information


1.4
Educational Data, Personal Data, or Health Information

Is the sponsor providing any student educational data, personal data, a limited dataset, or personal health information to University personnel and/or UofL students?

Yes No

If yes, which one

- Student educational data
- Personal data
- Limited dataset
- Personal health information

Are University personnel and/or UofL students providing any student educational data, personal data, a limited data set, or personal health information to the sponsor?

Yes No

If yes, which one

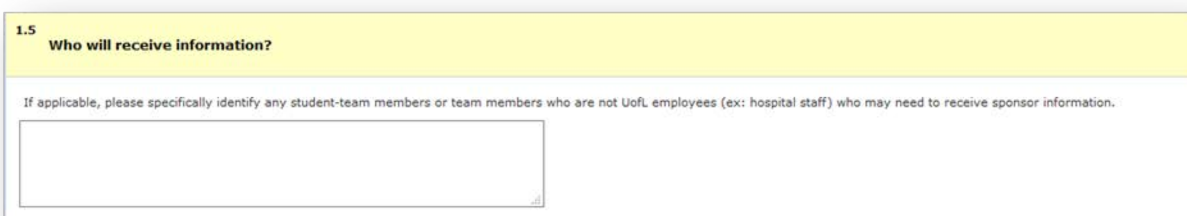
- Student educational data
- Personal data
- Limited data set
- Personal health information

If applicable, please enter the IRB Approval #

1.4

- Indicate the direction(s) of flow for student educational data, personal data, a limited dataset, or personal health information, and specify the data type(s).
- Enter the IRB approval number (if applicable).

1.5 Team Members Receiving Information

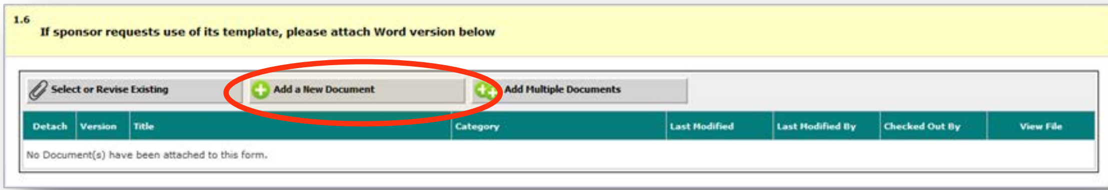

1.5
Who will receive information?

If applicable, please specifically identify any student-team members or team members who are not UofL employees (ex: hospital staff) who may need to receive sponsor information.

1.5

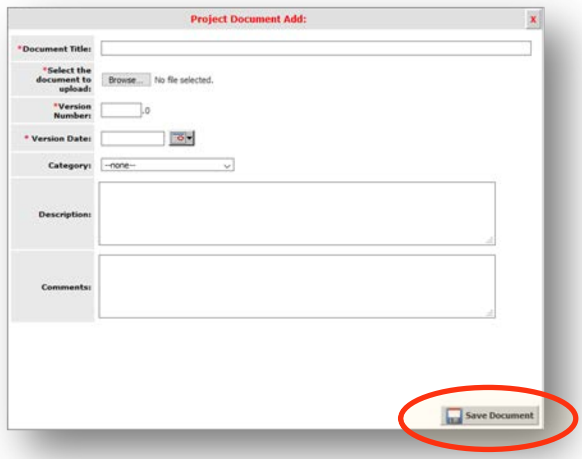
- Indicate any student team members or team members who are not UofL employees (hospital staff, for example) who may need to receive sponsor information.

1.6 Upload Sponsor Template



1.6

- Click **Add a New Document** to upload sponsor's template in Word format.

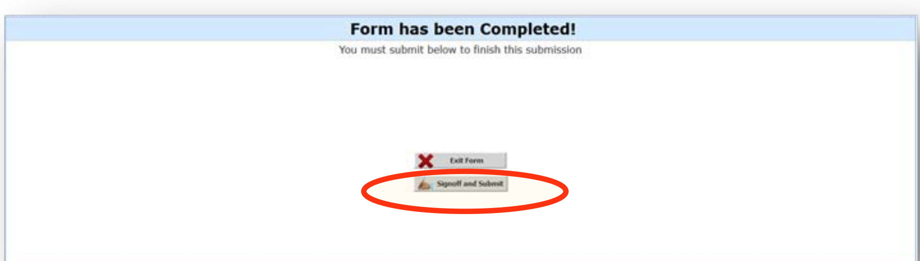


Add Document Window

   - Browse to find the document. Enter **Document Title**.
   - Enter **Version Number** (begin with 1; increase incrementally to add later versions).
   - Enter **Version Date** (date of document creation; latest modification if revised).
   - Select *Proposal* for **Category**. Click **Save Document** to return to DUA form.
- Click **Save and Continue to Next Section**.

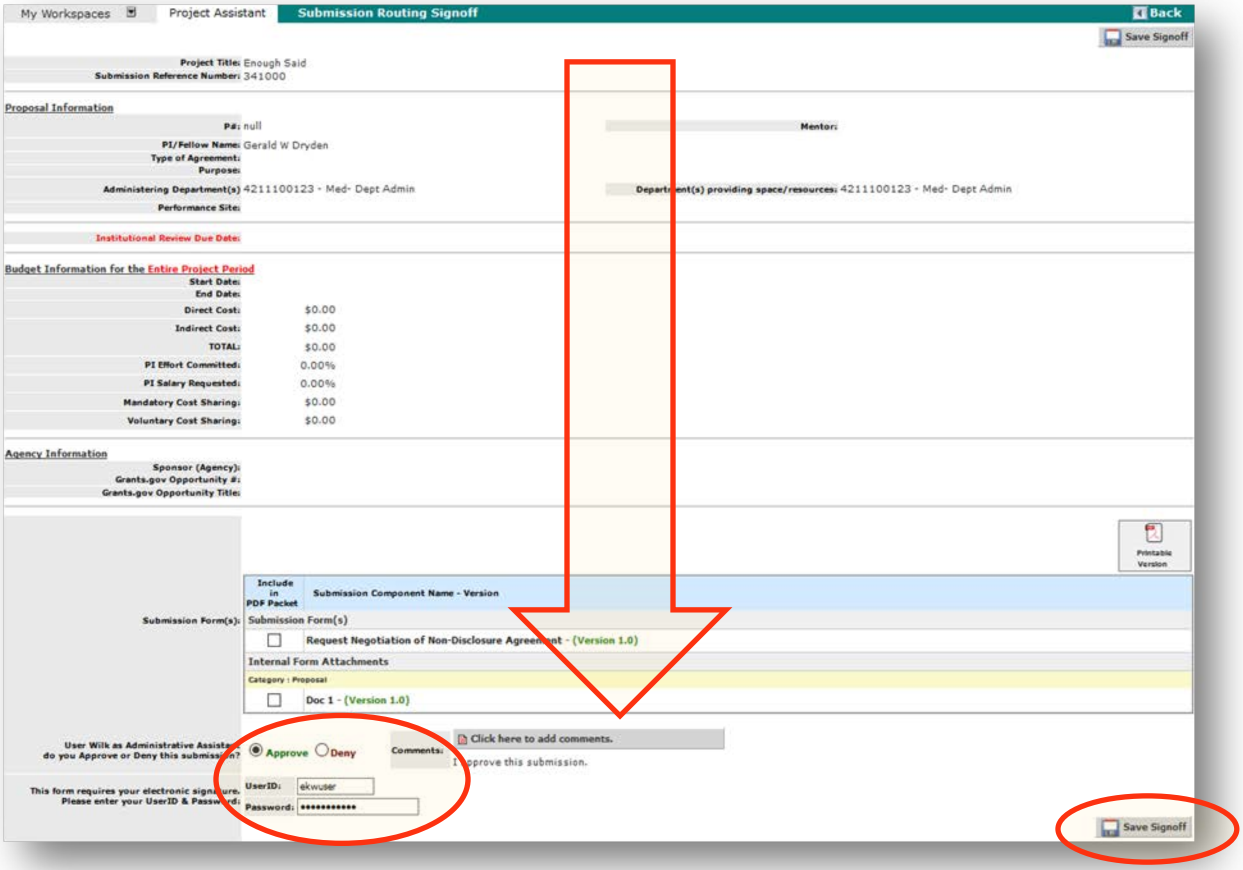
Sign

Data Use Signoff and Submit



- Click **Signoff and Submit**.

Submission Routing Signoff



- Scroll down. Check **Approve**. Enter user ID and password. Click **Save Signoff**.

Workflow–Submission Tracking

- Submission to Sponsored Programs is complete. From Project Workspace project panel press **Click to Open** the project, then click **Track Location** from Outstanding Submissions. The **Workflow–Submission Tracking** screen displays the status of the request. Click **Back** to return to workspace or click **Logout**.

MATERIAL TRANSFER AGREEMENT

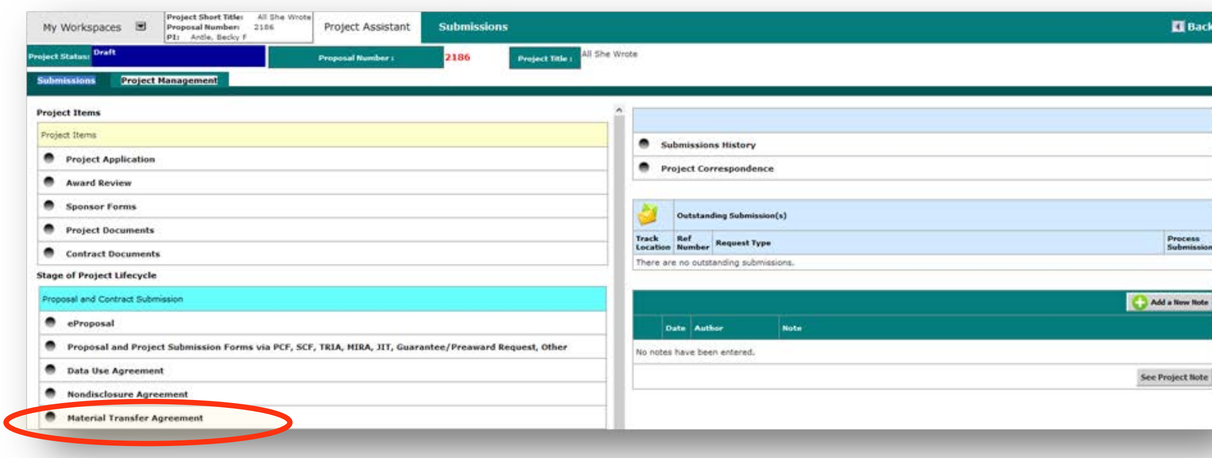
Create Answer Sign

Material Transfer Agreement Overview

Once a project shell is established, a material transfer agreement may be requested via this form. It provides pertinent project information needed for a contract specialist to begin agreement negotiations.

Create

Create a Material Transfer Agreement



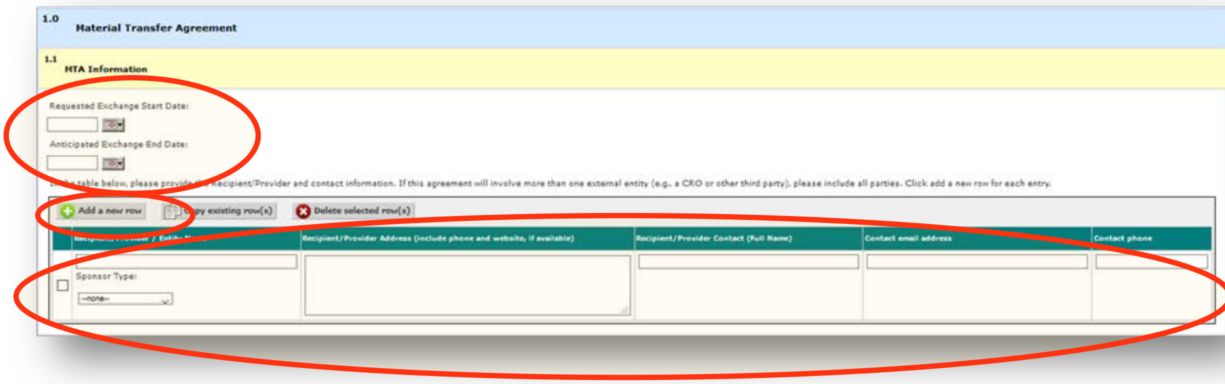
- After a project application shell has been created, navigate to its submissions screen.
- Click **Material Transfer Agreement**.

- Click **Add a New Form** to begin the material transfer request (the version list shows any existing forms of this type for this project).

Answer

1.0 Material Transfer Agreement

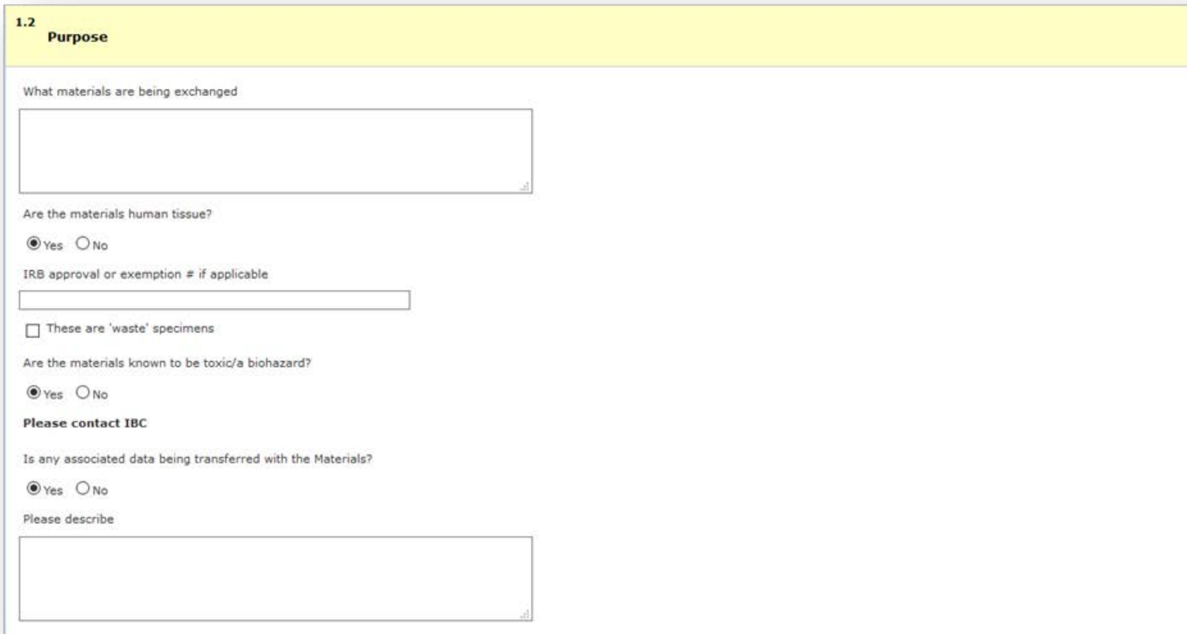
1.1 MTA Information



1.1

- Enter [start]() and [end]() dates for exchange to be covered by the material transfer agreement.
- Click **Add a New Row** to enter the recipient/provider and any other external party to the material transfer agreement. Include recipient/provider type, organization/individual names and contact information.

1.2 Purpose


1.2
Purpose

What materials are being exchanged

Are the materials human tissue?

(•) Yes ( ) No

IRB approval or exemption # if applicable

☐ These are 'waste' specimens

Are the materials known to be toxic/a biohazard?

(•) Yes ( ) No

Please contact IBC

Is any associated data being transferred with the Materials?

(•) Yes ( ) No

Please describe

1.2

- Describe the material being exchanged. Indicate if the material is human tissue and if it is considered “waste” specimens. Enter the IRB approval or exemption number (if applicable).
- Indicate if the material is known to be toxic/biohazardous. (If so, contact the IBC.)
- Indicate if any associated data will be transferred with the material, and describe the data.

1.3 External Funding


1.3
External Funding

Is the exchange related to an externally funded project?

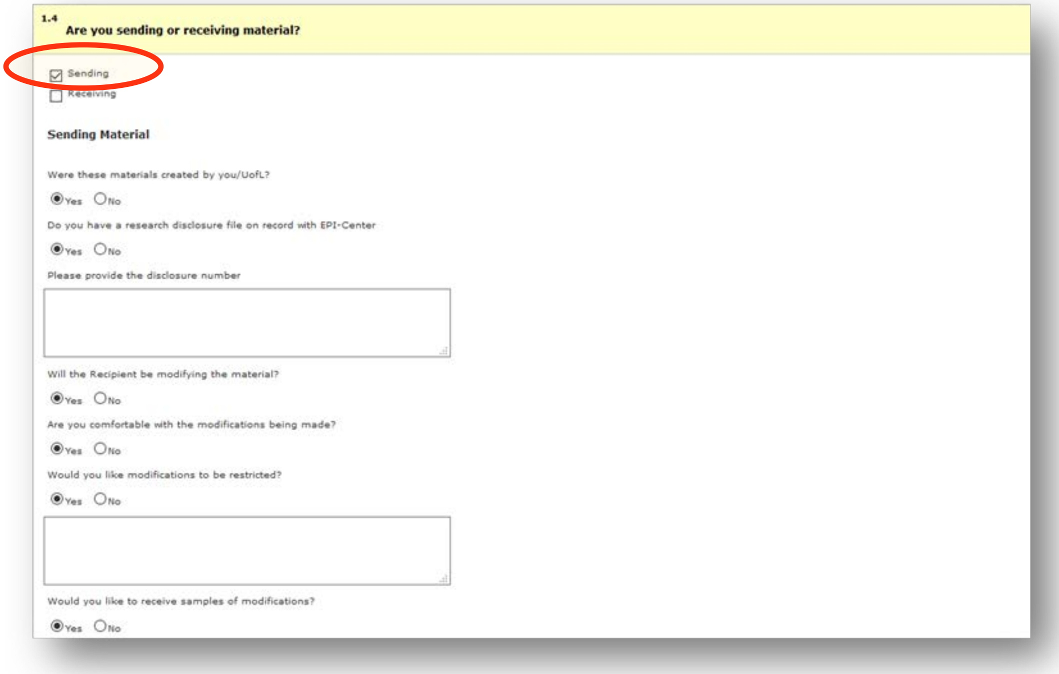
(•) Yes ( ) No

Please provide the Chartfield number

1.3

- Indicate if the exchange relates to an externally sponsored project, and provide the chartfield number.

1.4 Sending or Receiving Material

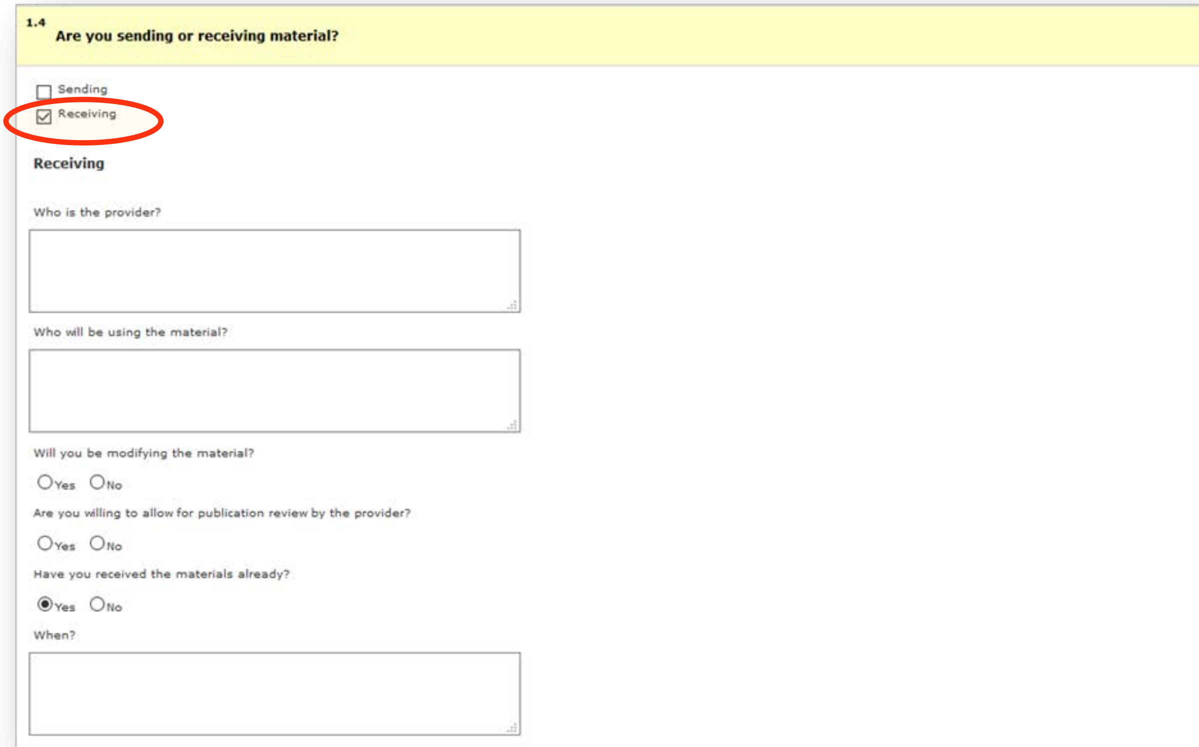


1.4a

- Indicate if you will be sending material by checking the **Sending** checkbox at the top of 1.4.
- If so, indicate if the material was created by you/UofL, and provide the disclosure number if you have a research disclosure file on record with EPI-Center.
- Indicate if the recipient will be modifying the material. If so, indicate if you are comfortable with the modifications, note any restrictions you wish to be placed on the modifications, and indicate if you wish to receive samples of the modifications.

1.4b

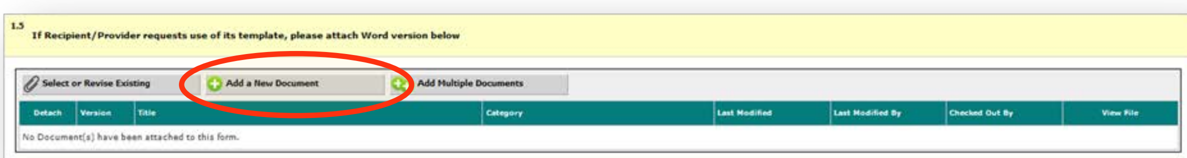
- Indicate whether or not you have already supplied the material, the date it was supplied, or the date it needs to be supplied.
- Indicate need for recovery of preparation/shipping costs; provide the amount and an account.



1.4c

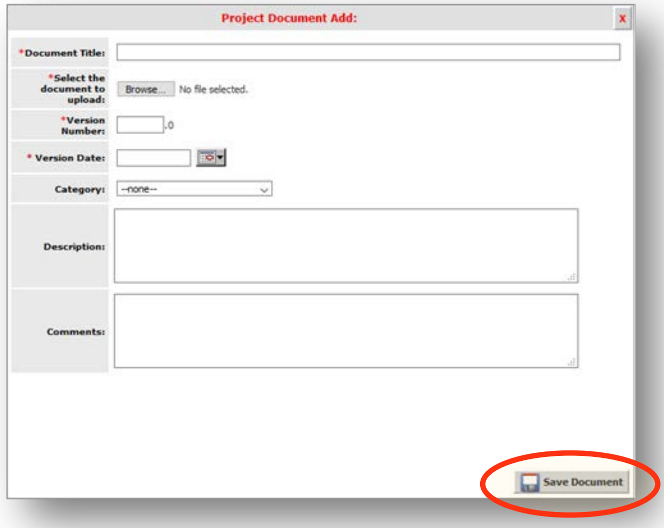
- Indicate if you will be receiving material by checking the **Receiving** checkbox at the top of 1.4.
- If so, indicate who will be using the material.
- Indicate if you will be modifying the material.
- Indicate if you are willing to allow for publication review by the provider.
- Indicate whether or not you have already received the material, the date it was received, or the date it needs to be received.

1.5 Upload Recipient/Provider Template



1.5

- Click **Add a New Document** to upload recipient's/provider's template in Word format.



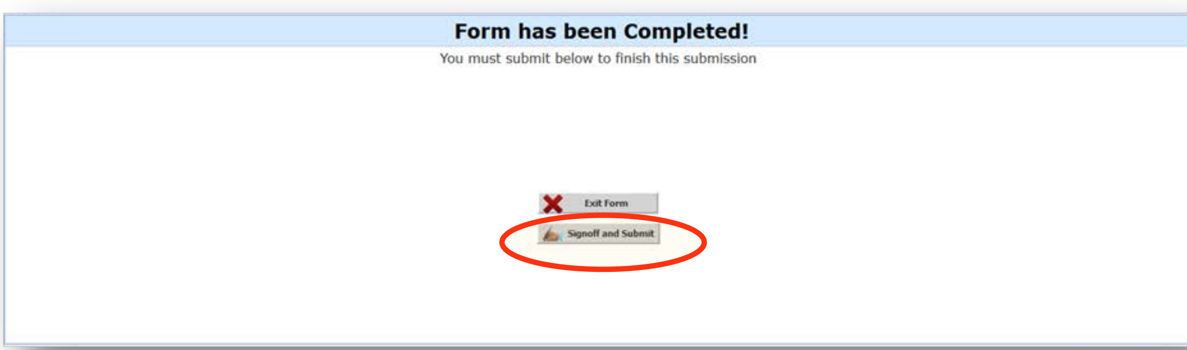
Add Document Window

- o Browse to find the document. Enter **Document Title**.
- o Enter **Version Number** (begin with 1; increase incrementally to add later versions).
- o Enter **Version Date** (date of document creation; latest modification if revised).
- o Select *Proposal* for **Category**. Click **Save Document** to return to MTA form.

- Click **Save and Continue to Next Section**.

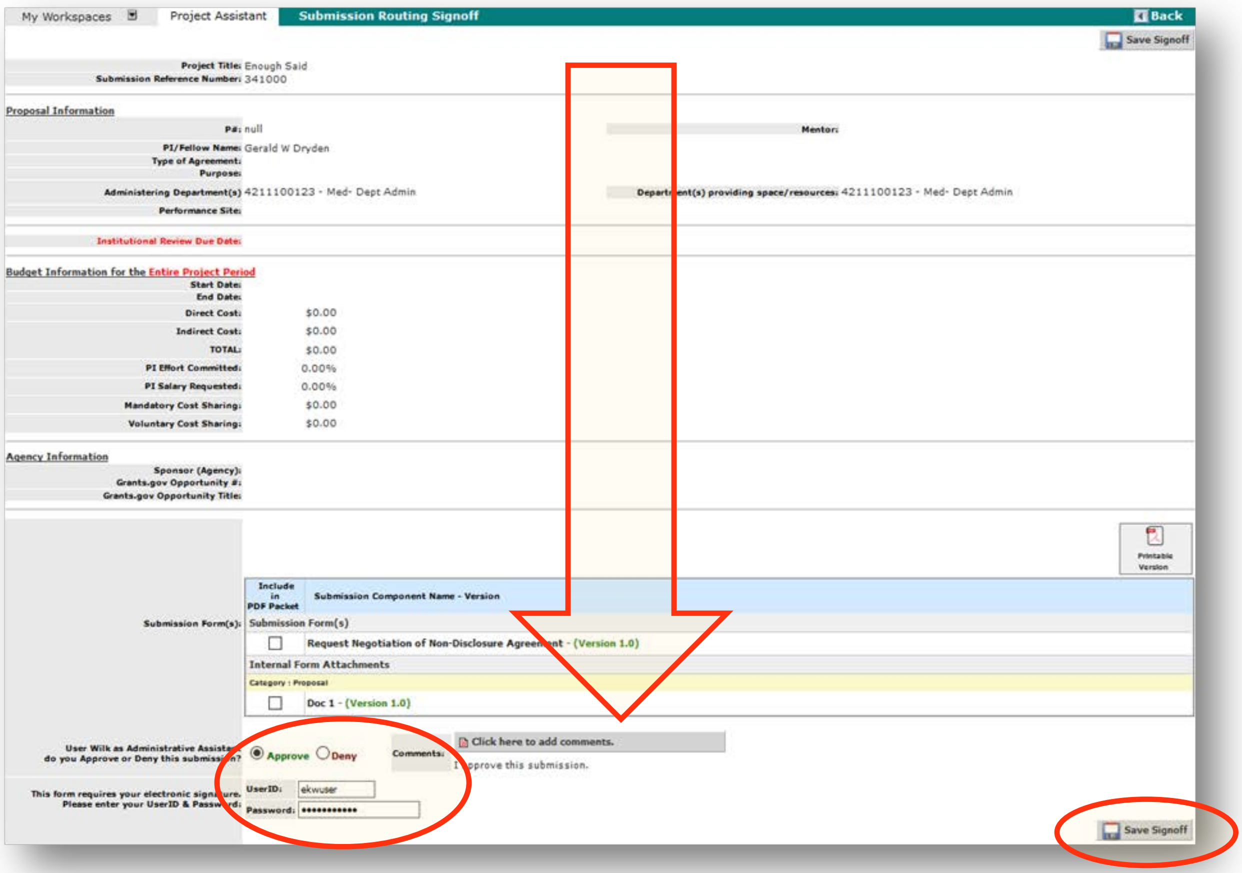
Sign

Material Transfer Signoff and Submit



- Click **Signoff and Submit**.

Submission Routing Signoff



- Scroll down. Check **Approve**. Enter user ID and password. Click **Save Signoff**.

Workflow–Submission Tracking

- Submission to Sponsored Programs is complete. From Project Workspace project panel press **Click to Open** the project, then click **Track Location** from Outstanding Submissions. The **Workflow–Submission Tracking** screen displays the status of the request. Click **Back** to return to workspace or click **Logout**.

APPROVAL PROXY

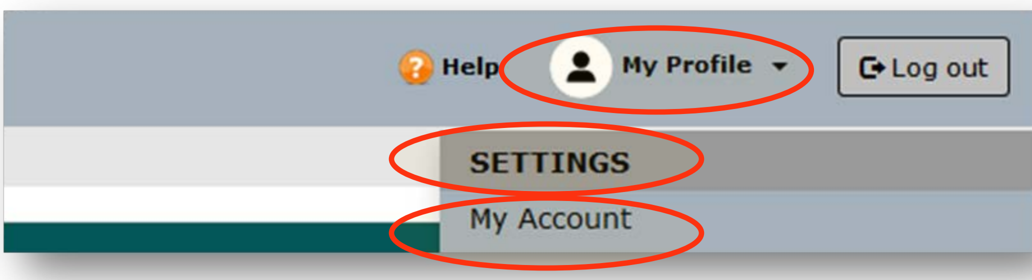
Create Activate Save

Proxy Overview

iRIS allows a user to assign his/her approval authority to one or more proxies. Once an alternate signoff setting is entered into iRIS, it may be activated and inactivated according to a signatory's availability. The setting may also remain activated for the continuous use of a permanent proxy.

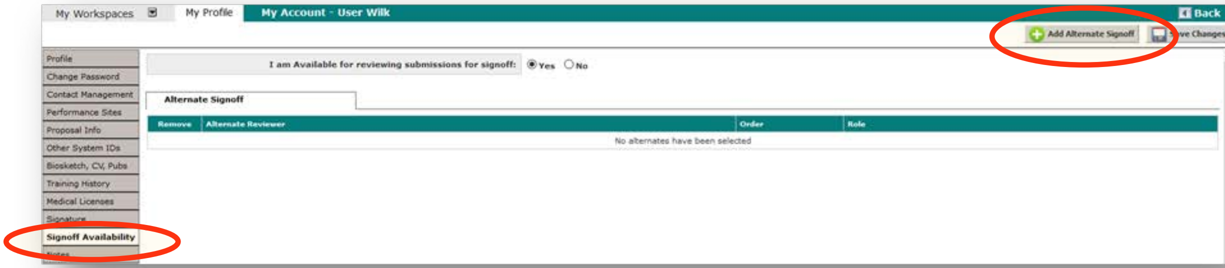
Create

Create a Proxy

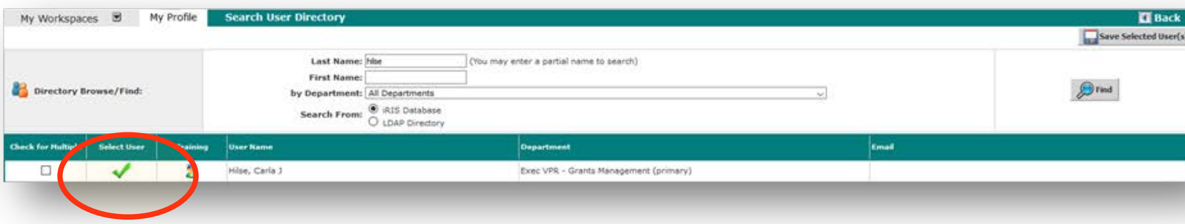


- From **My Profile**, drill down via **Settings** to **My Account**.

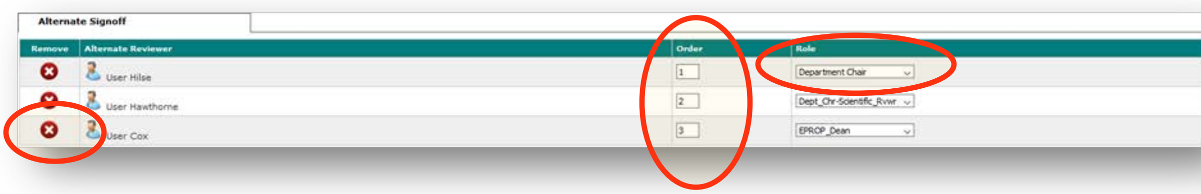
- (If the new interface has not yet been implemented, go to **My Assistant** and drill down to **My Account Information**.)



- Click **Signoff Availability** in the left-hand navigation pane.
- Click **Add Alternate Signoff** for each individual to be listed as a proxy.

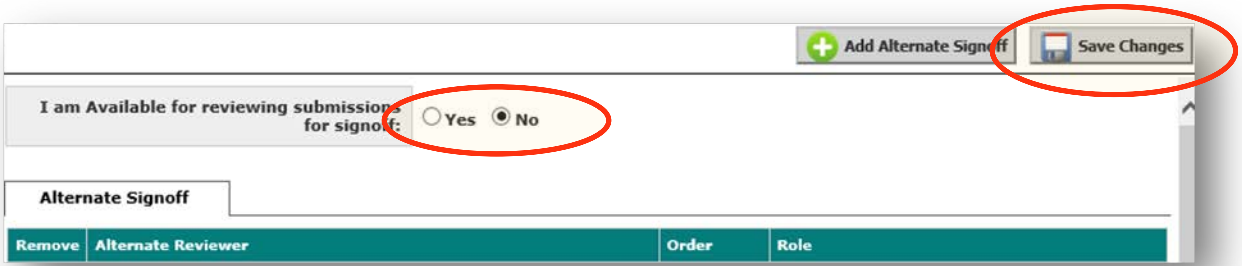


 - o Search the directory by name and/or department to locate an individual.
 - o Click **Select User**.



- Choose a role for each individual from the dropdown menu.
- In **Order**, enter the sequence in which alternates should be called upon.
- Note: An individual may be removed from the list by clicking **Remove**.

Activate



- To *"I am available for reviewing submissions for signoff"* check as applicable:
  1. **Yes** – Submissions requiring your approval will be routed to your queue.
  2. **No** – Submissions requiring your approval will bypass your queue and be automatically routed to the proxies in the order listed.

Save

- Click **Save Changes**.
- Click **Back** to return to **My Workspaces** or click **Logout**.

GLOSSARY

Budget Anticipated amount of funding needed for a project.

Budgeted Subamounts grouped into separate categories (salary, fringe, equipment, supplies, travel, tuition, F&A, etc.).

Nonbudgeted Direct and indirect costs combined into a single budget amount.

Budget entry method In iRIS, means of budget input into the system.

Budget module Fully detailed component that automatically pulls in salary data, performs many calculations and populates forms in the NIH sponsor packet. The module requires certain data entry and therefore may involve duplication of effort if a budget spreadsheet has already been prepared.

Summary budget Simple data entry of amounts into budget pools, with no automatic calculations and no population of sponsor packets. However, if the project involves personnel on other than 12-month appointments, the summary budget must be used. A detailed budget spreadsheet needs to be attached.

Center grant (program project) Large, multi-project effort that generally includes a diverse array of research activities. See also *cooperative agreement*.

Contract Written agreement whereby an individual, firm, partnership or corporation is to perform certain services requiring professional skill or professional judgment for an agreed-upon price for a specific period of time. The contractor has a specialized knowledge in a particular field and often requires originality, creativity and decision-making abilities. A contract is established for the purpose of obtaining goods and/or services and creates a procurement relationship with the contractor (compare with *subaward/subrecipient*).

Contract research organization (CRO) Entity which provides contracting or management services to the sponsor of a project.

Cooperative agreement Type of assistance award used when an activity is technically and/or managerially complex and requires extensive or close coordination between the agency and the awardee. Examples: Research centers, large curriculum projects, multi-user facilities, projects which involve complex subcontracting, construction or operations of major in-house university facilities and major instrumentation development. See also *center grant (program project)*.

Cost share Portion of project costs not borne by the funding agency. It may include effort, matching funds, unrecovered F&A, and in-kind contributions that a recipient makes to an award. In general, cost sharing must be necessary, reasonable and allowable under applicable cost principles; provided for in the approved budget and readily verifiable from the recipient's records; not paid by the federal government and not included as cost sharing for any other sponsored award.

Mandatory Required by sponsor as a condition of obtaining an award. It must be included in the proposed budget; otherwise, the proposal will not be considered by the sponsor.

Voluntary committed Resources offered by the university (documented and quantified in the proposal) when not specifically required by the sponsor. If accepted by the sponsor, it becomes a binding commitment which the recipient must provide as part of the performance of the sponsored agreement.

Data use agreement Contractual document used for the transfer of data that has been developed by nonprofit, government or private industry, where the data is nonpublic or is otherwise subject to restrictions on its use (e.g., human subject data from a clinical trial, or a limited data set as defined in HIPAA).

Date

Discussion/exchange end Anticipated end point for discussions covered under a nondisclosure agreement or for the exchange of data or material covered under a data use or material transfer agreement.

Discussion/exchange start Anticipated beginning point for discussions covered under a nondisclosure agreement or for the exchange of data or material covered under a data use or material transfer agreement.

Project end Anticipated end point of a project.

Project start Anticipated beginning point of a project.

Submission due Point set by sponsor or prime sponsor as the deadline for a proposal application. Enter the deadline time in Eastern (Louisville) time.

Department Unit within a UofL college or school with which project personnel are associated.

Document category In iRIS, grouping of documents for purposes of organization and searching.

Award ACF/CAS, notice of award, amendment, supplement, UBM-13A award summary, contract fully executed

Award modification No-cost extension, change in principal/co-/multiple investigator, revised scope of work, budget modification approval, carryover approval, award transfer out, IBED revision request, amendment

Closeout

Compliance ADF/COI, IRB, IACUC, human subjects training certification, representations and certifications

Federal financial monitoring

JIT (just in time) Other support, F&A rate agreement, detailed budget, fringe rates

Proposal Funding opportunity announcement, letter of intent, proposal clearance form, PCF clinical attachment, TRIA, MIRA, additional signature page, project application, budget, budget justification, scope of work/abstract, F&A waiver approval/sponsor restriction, contract template, protocol, informed consent form, NDA review form, NDA, startup service agreement

Related Memorandum of understanding, membership agreement, facility use agreement, data use agreement, not-funded notification, PI withdrawal request, program income, guarantee/preaward spending request, personal service contract, letter of indemnification, payment/check

Reporting Progress report, financial report, property report, invention report, RPPR–final, PRAM–final

Subrecipient Subaward/contractor determination, subrecipient commitment form, subrecipient risk assessment, executed subaward, amendment, purchased service agreement

Document date Date of document creation/revision.

Document version number Used to differentiate among multiple editions of a document.

Documents, project Forms and documentation needed to review a proposal for submission to sponsor or to begin the negotiation of an award. Examples: Sponsor forms, internal/detailed budget, budget justification, statement/scope of work, letter of intent, subrecipient documents. Draft documents specific to clinical projects: Sponsor's agreement template or work order, protocol, informed consent form, letter of indemnification (LOI) or facilities use agreement (FUA).

Effort, percent Portion of an individual's time committed to a specific sponsored project. It is expressed as a percentage of the individual's total activity for the university during the appointment period (whether calendar, academic or summer).

eProposal In iRIS, dataset encompassing the basic information of a project which may be submitted to a sponsor for funding consideration or may be used to begin agreement negotiations.

FDA device determination letter Letter issued by the U.S. Food and Drug Administration indicating if an investigational device study is considered basic physiological research, exempt or not exempt from premarket approval, and the degree of risk posed to study subjects by the device.

Flowthrough Funding which originates with a first-tier sponsor as an award to a second-tier entity, who passes through a portion as a subaward to a third-tier entity.

Indirect (F&A) cost base Portion of costs subject to F&A charges.

Indirect (F&A) cost base type Basis for calculating the amount of indirect costs (also known as facilities and administrative, F&A, or overhead costs) of a project.

Modified Total Direct Costs (MTDC) Includes: All direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). Excludes: Equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

Total Costs (TC) Includes: All direct and indirect costs, with no exclusions. F&A is calculated as a percentage of the total project amount.

Example: Determining the maximum amount of F&A to charge when sponsor limits to 10% TC

Step 1: Deduct the allowed F&A percentage from 100% (e.g., 100% - 10% = 90%).

Step 2: Divide the amount of total direct costs in the budget by this percentage to obtain total costs (e.g., $100,000 / .90 = $111,111).

Step 3: Multiply the total costs obtained by the percentage for F&A allowed by the sponsor. This will generate the maximum allowed F&A (e.g., $111,111 * .10 = $11,111).

Step 4: Check the calculation. The total costs minus the total direct costs should equal the amount of the F&A charged to the sponsor (e.g., $111,111 - $100,000 = $11,111).

Total Direct Costs (TDC) Includes: All direct costs of the project. F&A is calculated based upon the full direct cost amount with no exclusions, and is used for:

Industry-sponsored clinical projects with discounted F&A rate (Note: MTDC used when clinical trial sponsor is governmental or non-profit and full federally negotiated rate is charged)

Projects for which governmental or non-profit sponsor has an established, published policy limiting the amount of F&A costs (provide policy documentation/URL)

Exceptions as approved by the EVPRI (via the F&A Cost Burdening Waiver Request)

Keyword Word or phrase that describes the content of a project, used to facilitate searching within iRIS and PeopleSoft.

Material transfer agreement Contractual document that defines the conditions under which tangible research or other materials can be transferred and used among organizations.

Nondisclosure agreement Legally binding contract by which one or more parties agree not to disclose confidential information that they have shared with each other as a necessary part of doing business together.

Off/on campus

Off Property not owned or leased by UofL, including affiliated hospitals and private medical practices.

On Property owned or leased by UofL, including Belknap Campus, university space within Health Sciences Center, and Shelby Campus.

Person month Unit of time for measuring the effort that university personnel (faculty and staff) devote to a specific project. Based on the individual's institutional appointment type (which may be calendar year, academic year, and/or summer term) it is expressed as calendar months for individuals with 12-month appointments, and as a combination of academic and summer months for individuals with non-12-month appointments.

Personnel category Grouping used in online submission forms.

Senior/key personnel PI and other individuals who contribute to the scientific development or execution of a project in a substantive, measurable way, whether or not they receive salaries or compensation under the grant. Typically these individuals have doctoral or other professional degrees, although individuals at the masters or baccalaureate level may be considered senior/key personnel if their involvement meets this definition. Consultants and those with a postdoctoral role also may be considered senior/key personnel if they meet this definition. Senior/key personnel must devote measurable effort to the project whether or not salaries or compensation are requested. "Zero percent" effort or "as needed" are not acceptable levels of involvement for those designated as senior/key personnel.

Non-key personnel Individuals who participate in a project but who do not contribute to its scientific development or execution in a substantive, measurable way, whether or not they receive salaries or compensation under the grant.

Other significant contributor Individual who has committed to contribute to the scientific development or execution of the project, but is not committing any specified measurable effort (person months) to the project. The individual's contribution is typically presented as "effort of zero person months" or "as needed." Individuals with measurable effort may not be listed as other significant contributors. Consultants should be included if they meet this definition.

Program classification structure (PCS) Set of defined categories for examining the operations of an institution in relation to the accomplishment of that institution's objectives and integral to sound and accurate financial reporting; logical framework among institutions of higher education for arraying information in a common, comprehensive and compatible language. PCS codes commonly used by UofL Sponsored Programs include:

01 Instruction (also 01C instruction_contract) Expenditures for all activities that are part of an institution's instructional program, including credit and non-credit courses, academic, vocational, technical, remedial, tutorial, regular, special and extension sessions. Excludes expenditures for academic administration when the primary assignment is administration, for example, academic deans. However, expenditures for department chairpersons, in which instruction is still an important role of the administrator, are included in this category. Note: Research technique training utilizing the same facilities as other research and development activities is categorized as 02 research.

02 Research (also 02C research_contract) Expenditures for all activities specifically organized to produce research outcomes, whether commissioned by an outside agency or separately budgeted within the institution, and for individual, institute, research center or project research. Note: Per NIH and NSF grant policies, all awards issued by NIH or NSF meet the definition of "research and development" and are categorized as 02 research regardless of the substance of the work performed by UofL. Phase I, II, and III clinical trials are categorized as 02 research, but phase IV post-market clinical trials are categorized as 03 public service.

03 Public service (also 03C public service_contract) All funds expended for activities established primarily to provide non-instructional services beneficial to individuals and groups external to the institution. These activities include community service programs (excluding instructional activities) and cooperative extension services. Note: Phase IV post-market clinical trials collect information on risk, benefits and optimal use, and are categorized as 03 public service.

06 Institutional support Expenditures for executive-level activities concerned with the overall management, fiscal operations, general administration and logistical services, administrative computing services, and public relations/development for the entire institution.

08 Student financial aid Expenditures for scholarships and fellowships, from restricted or unrestricted current funds, given to students in the form of grants resulting from selection by the institution or from an entitlement program. It also includes trainee stipends, prizes and awards, except trainee stipends awarded to individuals who are not enrolled in formal course work.

Project In iRIS, entire dataset representing a grant or contract (compare with *study*).

Project contribution, percent Represents the contribution that each investigator (PI, Co-I) makes to a project. Based upon an agreement between the project's PI(s) and Co-I(s), it is used to assign institutional "credit" for a project to individuals, units, departments, schools and/or colleges. Project contribution (which does not necessarily align with percent effort) must total to 100 percent for a project and must be greater than or equal to 1 percent for each individual investigator. Only PIs and Co-Is are eligible for project contribution. In the absence of an entry for project contribution, RIF percentages will be used to distribute institutional "credit" for a project.

Purpose Primary intent or aim of a project.

Research and development

Research (basic and applied) Systematic study directed toward fuller scientific knowledge or understanding of subject studied.

Development Systematic use of knowledge gained from research directed toward production of useful materials, devices, systems or methods, including design and development of prototypes and processes.

Research training Training in research techniques where such activities utilize the same facilities as other research and development activities.

Instruction University teaching and training activities (excluding research training), offered for credits toward a degree/certificate or on a non-credit basis; through regular academic departments or separate divisions such as a summer school or extension division.

Public service Non-instructional/non-R&D services beneficial to individuals and groups external to the university; includes health service projects and community service programs but excludes fee-for-service arrangements (e.g., technical testing).

Other sponsored activity Work other than research/development, instruction, and public service; includes contracted/fee-for-service arrangements, non-research standard technical testing/services.

Clinical trial Research study in which one or more human subjects are prospectively assigned to one or more interventions (which may include placebo or other control) to evaluate the effects of those interventions on health-related biomedical or behavioral outcomes.

Clinical research and development Non-interventional or non-prospectively assigned project conducted with human subjects or on human-derived material such as tissues, specimens, and cognitive phenomena (e.g., observational or specimen study, chart review, survey research).

Research infrastructure funds (RIF), percent Return of a percentage of F&A costs to principal investigators and co-investigators (individual RIF, IRIF) and departments (departmental RIF, DRIF) to support efforts to secure and maintain extramurally funded activities. The percent RIF breakdown is negotiated between a project's PI(s) and Co-I(s) and determines the distribution of IRIF and DRIF for a project. RIF must total to 100 percent for a project and is limited to PIs and Co-Is.

Role

Additional principal investigator See *multiple principal investigator.* This role is authorized to submit iRIS forms.

Administrative assistant In iRIS, anyone who needs access to edit a project in the system (e.g., one tasked with clerical entry into the system on behalf of the PI or with project review on behalf of the unit head). This role is authorized to submit iRIS Nondisclosure Agreement Requests on behalf of the PI; may initiate eProposal submissions to the point of PI signoff.

Co-investigator (Co-I) Key personnel with responsibilities similar to that of a PI on a sponsored project. While the PI has ultimate responsibility for the conduct of a project, the Co-I is also obligated to ensure the project is conducted in compliance with applicable laws, regulations and institutional policy. This role is authorized to submit iRIS forms.

Co-principal investigator (Co-PI) See *multiple principal investigator.* This role is not authorized to submit iRIS forms.

Department administrator Person who provides varied services for a particular department in the administration of a project. This role is not authorized to submit iRIS forms.

Department approver Chair, dean or a designee responsible for approving a project on behalf of a department. Specify whether department chair, department chair-scientific reviewer, eProp authorized organizational representative, eProp contract specialist, eProp dean, eProp department chair, eProp division chief, eProp EVPRI, eProp grants management specialist, eProp research dean, scientific reviewer. This role is not authorized to submit iRIS forms.

Multiple principal investigator Term used under the NIH multiple PI model to accommodate team-based science and recognize the contributions of team members for projects that do not fit the traditional single PI model. (NSF uses the term Co-PI.) Under the model, one investigator specifically responsible for communication is named the contact principal investigator. This role is authorized to submit iRIS forms.

Other administrative personnel Personnel who provide specialized services in the administration of a project. Specify whether additional research service coordinator, postaward coordinator, clinical trials coordinator, clinical contact, regulatory contact or budgetary contact. These roles are not authorized to submit iRIS forms.

Primary research administrator Person responsible for overall administration and management of an iRIS project. Defaults to project creator. This role is not authorized to submit iRIS forms.

Primary research service coordinator Person responsible for overall coordination of the research activities of a sponsored project. This role is not authorized to submit iRIS forms.

Principal investigator (PI, also project director, PD) Individual who has ultimate responsibility for the design, execution and management of a sponsored project. This role is authorized to submit iRIS forms.

Project contact In iRIS, any person who needs to receive system notifications regarding an iRIS project. Defaults to project creator, and others may be added (e.g., PI, research coordinator). This role is not authorized to submit iRIS forms.

Research support staff Personnel who carry out the research activities of a sponsored project. Specify whether technician, other, other professional, postdoctoral fellow, graduate student (GRA), undergraduate student or key personnel. These roles are not authorized to submit iRIS forms.

Study author Individual, group, or organization primarily responsible for the content of a study. This role is not authorized to submit iRIS forms.

Shell In iRIS, fundamental dataset of a project encompassing the title, assignment of access for personnel, and department involvement.

Site Location where the activities of a project take place.

Solicitation Call or request from a funding entity for proposals for sponsored projects or research, typically under a specific topic or field of study.

Sponsor Patron or funder of a project or research.

PeopleSoft Entity making payments directly to UofL.

Prime In cases of flow-through funding, top-tier entity from which funding originates.

Study In iRIS, entire dataset representing a compliance committee submission (compare with *project*).

Study type Specific design or aim of a clinical project.

Chart review Pre-recorded, patient data are used to answer research questions

Device study Medical device is being clinically evaluated, regardless of study design

Drug study Evaluation of the use and effects of drugs in regard to efficacy, toxicity, pharmacokinetics, dose-ranging, effectiveness, safety

Observational study Researcher systematically observes behavior without influencing or interfering with it

Other Project or study design—not otherwise listed here—involving human subjects or human-derived material such as tissues, specimens, or cognitive phenomena

Registry Collection/maintenance of information on individuals who consent to their data being used for future studies

Repository Collection/storage of identifiable specimens from subjects who consent to their data being used for future studies

Specimen study Tissue, blood, urine, other biologically derived material is used for diagnosis and analysis

Subaward (subrecipient) Agreement written under the authority of and consistent with the terms of a prime award (grant, contract or cooperative agreement) that transfers a portion of the research or substantive effort to another organization when such expertise is not available with the primary awardee's institution (compare with *contract*).

Submission method Means by which a project proposal is submitted to sponsor.

Sponsor portal Online proposal application. Specify whether **FastLane** (NSF); **iRIS-generated system-to-system** (Grants.gov); **Proposal Central** (government, nonprofit and private grant-making organizations); **Grants@Heart** (American Heart Association); **NIH Assist; Workspace** (Grants.gov); **Other** (describe the portal).

Email Electronic mail delivery.

Paper Postal or courier delivery.

Other Provide details.

Submission package, Grants.gov Mapping of data from iRIS into a Grants.gov online submission form.

Submission version Edition of a project proposition.

Continuation Request for continued funding of a project for which the funding or project period is about to terminate. Such proposals are similar to "new" proposals and must be routed and approved in the same manner.

Internal Used for the purpose of tracking documents that will not result in a funded award. Examples include membership agreements, facility use agreements, data use agreements, memorandums of agreement/understanding.

New Application not previously proposed, or an application that was previously proposed but not funded and either not eligible for resubmission or the PI elects to submit as a new application.

Pre-Proposal Application required by a sponsoring agency in advance of an official proposal which will not result directly in an award. May be used for the purpose of determining eligibility, level of competition, volume of anticipated proposals. May be referred to as a "white paper."

Resubmission Application that was previously submitted but not funded, and is being updated and resubmitted for consideration.

Revision Application that proposes a change in 1) the sponsoring agency's financial obligations or contingent liability from an existing obligation, or 2) any other change in the terms and conditions of an existing award.

Supplement Request for (or the awarding of) additional funds for an existing award. Examples include administrative and minority supplements.

Transfer Submission of a proposal requesting transfer of an award from another institution due to the transfer of the PI/PD to UofL.

Unrecovered indirect (F&A) costs When UofL's F&A rate is higher than that allowed on an award, the difference between recouped F&A and the amount had the standard rate been used. Also, as UofL does not charge itself F&A, the amount of F&A lost on cost share