




**Office of the Vice President
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MEMORANDUM

DATE: 24 January 2012
TO: Campus investigators and administrators
FROM: James W. Tracy, Vice President for Research 
SUBJECT: Internal Approval Form Required for Extramural Proposal Submission
EFFECTIVE DATE: 02 April 2012

Because of the perceived cumbersome process of routing a paper Internal Approval Form (IAF), it has become commonplace to submit proposals for extramural research funding without the accompanying internal paperwork, and instead, to initiate the IAF only after a notice of award has been received. There are problems with this approach: First, it denies the chair or director and dean an opportunity to review the proposal and to approve any commitment of resources (e.g., lab space, cost sharing). Second, delayed IAF processing is the principal reason for delays in setting up an account so the research can begin. Finally, the lack of a fully executed IAF on file at the time of proposal submission means the university has not captured investigator certifications required by the Federal government and most non-governmental sponsors.

Despite this practice, it has long been university policy (*see* AR 7:3, Sect. V.C.) that a completed and fully signed IAF must be on file with the Office of Sponsored Projects Administration (OSPA) prior to or concurrently with submission of a proposal to an external sponsor. With the recent successful deployment of an electronic IAF (e-IAF) that incorporates paperless approval routing (i.e., “workflow”), there is no longer any justifiable reason for not complying with existing university policy and sponsor requirements.

With concurrence of the associate deans for research, I am announcing the following action: **Beginning with applications due on or after 02 April 2012, no proposal shall be submitted to any external funding agency unless a fully executed e-IAF has been received by OSPA at least three (3) business days prior to the sponsor’s published deadline.** Because the e-IAF is not a proposal submission system but rather an internal process, the e-IAF can easily be routed and submitted to OSPA well in advance of the sponsor’s deadline.

My staff and I are committed to supporting your efforts to secure extramural support for your research programs. However, it is also my responsibility to ensure that the university complies with sponsor requirements, especially those imposed by Federal agencies. As always, if you need assistance with a proposal, with the e-IAF, or with pending or active sponsored agreements, I encourage you to contact your College Grants Officer, OSPA Research Administrator, or your associate dean for research.

Please contact Deborah Davis (deborah.davis@uky.edu; 7-8311) or me directly, if you have questions.