

## Penn State Internal Approval Form (IAF) Instructions

**Introduction:** The IAF is an online, Internal Approval Form for grant proposals. Electronic [approval](#) of the form replaced signatures. The form's tabs are explained below, including information about completing them. Be sure to click the Save button before leaving each tab. The IAF is **not** the proposal itself; approval of the IAF does not constitute proposal submission. Note: Additional information is available at links on the titles of most tabs below.

**Summary Tab:** The information on this tab is auto-filled from the other tabs only. PI to review.

**Basic Info Tab:** The Grants & Contracts Office (GCO) completes this tab. PI to review.

**Budget Tab:** The GCO completes this tab. PI to review.

**Waivers Tab:** The GCO completes this tab. PI to review.

**Personnel Tab:** On this tab, the PI's name and names of other key personnel, their departments and roles on the proposal, and the "1<sup>st</sup> Period Effort (person months)" autofill. The PI completes the "% Credit" column in whole percentages totaling 100%. Credit will be attributed to the college and dept per the percentages. Percentages reflect "credit" for intellectual and technical responsibility for the project, but need not represent salary or effort for all project participants. See Appendix 1 below for further explanation.

**Research Info Tab:** Copy and paste it into the abstract box. The PI is responsible for inserting the proper percentages into the categorized proposed research areas below the abstract. See Appendices 1 and 2.

### **Export Tab:**

Will the project require access to classified facilities or classified information?

- If the project requires access to classified facilities or classified information, choose Yes. Choose yes also if the project will require personnel to hold security clearances.

Is the sponsor or prime sponsor a foreign entity?

- This will be automatically answered based on the information that the GCO enters in the Basic Info tab.

Does the project include payment to any foreign subrecipients or foreign consultants?

- If foreign subrecipients or foreign consultants are proposed, choose Yes.
- If you choose Yes, a red message will appear that says "OSP must review and approve this proposal prior to submission to the sponsor. Please upload a copy of the approval email." However, **Do Not** upload any document in the "Export Control Approval" box; GCO will upload the approval.

Will there be any foreign visitors or unpaid foreign collaborators associated with this project?

- If foreign visitors (also known as Visiting Scientists) will be participating in the project, choose Yes.
- If you will be collaborating with any foreign persons, colleagues or entities, other than paid foreign subrecipients or paid foreign consultants identified in the previous question, choose Yes.
- If the only foreign parties will be Penn State employees or enrolled students, choose No.

Does the project require foreign travel?

- If the project requires travel outside the US or its territories, choose Yes.

Other than technical reports, will the project involve the delivery of goods, materials or services to a foreign location or a foreign individual?

- If the project requires the shipment of equipment, materials, or controlled technical data to a foreign recipient, choose Yes.
- This does not include delivery to a US company with foreign employees. [Examples may include/not limited to prototypes, novel materials, unpublished third party technical data, proprietary software.]

Export Control Approval

- **Do Not attach anything in this box if it appears. OSP attaches the approval.**

**Investigators Tab:** If the 5<sup>th</sup> column in this tab says "Investigators Tab Not Complete," do the following:

- All Investigators must disclose their significant financial or business interests using COINS (Penn State's electronic Conflict Of Interest System) by following the link: <http://coins.psu.edu>.
- Financial disclosures submitted in COINS will be forwarded to the discloser's Dept Head for review.
- After Department review, disclosures are electronically routed to the Conflict of Interest Program. Conflict of Interest staff determine whether disclosures can be processed administratively, or if they need to be reviewed by the Conflict of Interest Committee.

- A plan to manage any conflicts of interest must be in place prior to the expenditure of any award funds.

**Human Subjects Tab:** Does this research involve interaction or intervention with human subjects or the use of identifiable private human subjects data? This includes the following:

- 1) work done under the auspices of Penn State,
- 2) human subjects research at performance sites other than Penn State campuses and field sites, and/or
- 3) any work done by a subcontractor or commercial vendor.

If you are unsure, please contact the [IRB Program](#) for assistance.

If the answer to the above question is Yes, additional information will be requested in this tab: "If you have an approved study or studies, please provide the information below. This information is *optional* at the time of proposal submission, but is mandatory before Penn State will accept an award. To view your currently approved studies, go to the [myResearch Portal](#)".

**Animal/Biosafety Tab:** Does this research involve interaction or intervention with animal subjects? This includes the following:

- 1) work done under the auspices of Penn State,
- 2) any animal subjects research done at performance sites other than Penn State campuses and field sites, and/or
- 3) any work done by a subcontractor or commercial vendor (including custom antibody production).

If you are unsure, please contact the [IACUC Program](#) for assistance.

If the answer to the above question is Yes, additional information will be requested in this tab: "If you have an approved study or studies, please provide the information below. This information is optional at the time of proposal submission, but is mandatory before Penn State will accept an award. To view your currently approved studies, go to the [myResearch Portal](#)".

- Does this research involve the use of any Biohazardous Materials as defined in Penn State Policy [SY24](#), Use of Regulated and Biohazardous Materials in Research and Instruction?

If the answer to the above question is Yes, additional information will be requested in this tab: "If you have an approved study or studies, please provide the information below. This information is optional at the time of proposal submission, but is mandatory before Penn State will accept an award. To view your currently approved studies, go to the [myResearch Portal](#)".

### **Radiation/Lab Safety**

Does this research involve the use of radioactive materials, radiation-producing instruments, or lasers?

- [Radioactive material](#) is a solid, liquid, or gas compound or mixture in which some of the atoms are in an unstable atomic state. These atoms naturally decay to a stable state by the emission of ionizing radiation, normally from the nucleus. Users of this material must comply with Penn State Policy [SY-14](#) and the [Rules and Procedures for Use of Radioactive Material](#).
- [Non-ionizing radiation](#) is radiation that has insufficient energy to cause the ionization of target atoms. Examples include microwaves, visible light, infrared waves, radio waves and lasers.
- [Lasers](#) are devices which use a quantum mechanical effect, stimulated emission, to generate a coherent beam of light. Lasers are a form of non-ionizing radiation but are treated separately at Penn State. Laser users must comply with Penn State Policy [SY-17](#).

If the answer to the question above is Yes, 3 additional questions will appear:

- 1) Does this research involve the use of radioactive materials?  
If the answer to the above question is Yes, additional information will be requested in this tab: "If you have an approved study or studies, please provide the information below. This information is optional at the time of proposal submission, but is mandatory before Penn State will accept an award. To view your currently approved studies, go to the [myResearch Portal](#)".
- 2) Does this research involve radiation-producing instruments?
- 3) Does this research involve lasers?

Does this research involve chemical, biological, animal, or physical hazards?

- For more information, see the [EHS Lab Safety](#) website.

**Attachments Tab:** Please do not attach or upload anything at this tab. The GCO completes this tab.

**Accounts Setup Tab:** The GCO completes this tab.

## **Appendix 1: Personnel Tab and Research Info Tab Differences**

### **Personnel Tab**

Credit for Individual Research Personnel: The objective of the credit percentages is to assign credit to the home colleges/departments of the PIs and principal contributors on a grant. Shared credit will be assigned to investigators, co-investigators, project directors, and other participants. Credit will be attributed to the home college and department of those individuals in proportion to the percentages entered. These percentages reflect "credit" for intellectual and technical responsibility for the project. They need not represent salary or time distributions for all project participants. The credit leads to Research Incentive Funds (RIF) if the grant is awarded, and the credit has some bearing on promotions and other personnel decisions.

### **Research Info Tab**

Credit for Scientific Areas of Research: No Research Incentive Funds (RIF) go to the categories of your proposed research indicated by the pre-defined scientific areas you choose. The collected data will permit Penn State to respond to the federal Higher Education Research & Development (HERD) survey. Please note that your estimated allocation is used for federal reporting purposes only. It does not impact the allocation of credit or the distribution of research incentive funds (RIF).

**NOTE: See Appendix 2 below for Categorized Scientific Areas and what comprises each area.**

## **Appendix 2: Categorized Scientific Areas**

### **Computer and Information Sciences**

- Artificial intelligence
- Computer and information technology administration and management
- Computer science
- Computer software and media applications
- Computer systems analysis
- Computer systems networking and telecommunications
- Data processing
- Information sciences, studies
- Information technology

### **Engineering**

#### **Aerospace, Aeronautical & Astronautical Engineering**

- Aerodynamics
- Aerospace engineering
- Space technology

#### **Bioengineering/Biomedical Engineering**

- Biological and biosystems engineering
- Biomaterials engineering
- Biomedical technology
- Medical engineering

#### **Chemical Engineering**

- Biochemical engineering
- Chemical and biomolecular engineering
- Engineering chemistry
- Paper science
- Petroleum refining process
- Polymer, plastics engineering

#### **Civil Engineering**

- Architectural engineering
- Construction engineering
- Engineering management, administration
- Environmental, environmental health engineering
- Geotechnical and geoenvironmental engineering
- Sanitary engineering
- Structural engineering
- Surveying engineering
- Transportation and highway engineering
- Water resources engineering

#### **Electrical, Electronic and Communication Engineering**

- Communications engineering
- Computer engineering
- Computer hardware engineering
- Computer software engineering
- Electrical and electronics engineering
- Laser and optical engineering
- Power
- Telecommunications engineering

## **Industrial and Manufacturing Engineering**

- Industrial engineering
- Manufacturing engineering
- Operations research
- Systems engineering

## **Mechanical Engineering**

- Electromechanical engineering
- Mechatronics, robotics, and automation engineering

## **Metallurgical & Materials Engineering**

- Ceramic sciences and engineering
- Geophysical, geological engineering
- Materials engineering
- Metallurgical engineering
- Mining and mineral engineering
- Textile sciences and engineering
- Welding

## **Geosciences, Atmospheric Sciences, and Ocean Sciences**

### **Atmospheric Science and Meteorology**

- Aeronomy
- Atmospheric chemistry and climatology
- Atmospheric physics and dynamics
- Extraterrestrial atmospheres
- Meteorology
- Solar
- Weather modification

### **Geological and Earth Sciences**

- Earth and planetary sciences
- Geochemistry
- Geodesy and gravity
- Geology
- Geomagnetism
- Geophysics and seismology
- Hydrology and water resources
- Minerology and petrology
- Paleomagnetism
- Paleontology
- Physical geography
- Stratigraphy and sedimentation
- Surveying

### **Ocean Sciences and Marine Sciences**

- Biological oceanography
- Geological oceanography
- Marine biology
- Marine oceanography
- Marine sciences
- Oceanography, chemical and physical

## **Life Sciences**

### **Agricultural Sciences**

- Agricultural business and management
- Agricultural chemistry
- Agricultural economics
- Agricultural engineering—report in Engineering
- Agricultural production operations
- Animal sciences
- Applied horticulture and horticultural business services
- Aquaculture
- Food science and technology
- International agriculture
- Plant sciences
- Soil sciences
- Wood science

### **Biological and Biomedical Sciences**

- Allergies and immunology
- Biochemistry, biophysics, and molecular biology
- Biogeography
- Biology and biomedical sciences, general
- Biomathematics, bioinformatics, and computational biology
- Biotechnology
- Botany and plant biology
- Cell, cellular biology, and anatomical sciences
- Epidemiology, ecology and population biology
- Genetics
- Microbiological sciences and immunology
- Molecular medicine
- Neurobiology and neuroscience
- Pharmacology and toxicology
- Physiology, pathology and related sciences
- Zoology, animal biology

### **Health Sciences**

- Advanced, graduate dentistry and oral sciences
- Allied health and medical assisting services
- Bioethics, medical ethics
- Clinical medicine research
- Clinical/medical laboratory science/research and allied professions
- Communication disorders sciences and services
- Dentistry
- Dietetics and clinical nutrition services
- Health and medical administrative services
- Health, medical preparatory programs
- Gerontology, health sciences
- Kinesiology and exercise science
- Medical clinical science, graduate medical studies
- Medical illustration and informatics
- Medicine
- Mental health
- Nursing
- Optometry
- Osteopathic medicine, osteopathy

- Pharmacy, pharmaceutical sciences, and administration
- Podiatric medicine, podiatry
- Public health
- Radiological science
- Registered nursing, nursing administration, nursing research and clinical nursing
- Rehabilitation and therapeutic professions
- Veterinary biomedical and clinical sciences
- Veterinary medicine
- Zoology

### **Natural Resources and Conservation**

- Fishing and fisheries sciences and management
- Forestry
- Natural resources conservation and research
- Natural resources economics
- Natural resources management and policy
- Renewable natural resources
- Wildlife and wildlands science and management

### **Mathematics and Statistics**

- Applied mathematics
- Mathematics
- Statistics

### **Physical Sciences**

#### **Astronomy and Astrophysics**

- Astronomy
- Astrophysics
- Planetary astronomy and science

#### **Chemistry**

- Analytical chemistry
- Chemical physics
- Environmental chemistry
- Forensic chemistry
- Inorganic chemistry
- Organic chemistry
- Organo-metallic chemistry
- Physical chemistry
- Polymer chemistry
- Theoretical chemistry
- (except Biochemistry, report in Biological and Biomedical Sciences)

#### **Materials Science**

- Materials chemistry
- Materials science

#### **Physics**

- Acoustics
- Atomic, molecular physics
- Condensed matter and materials physics
- Elementary particle physics
- Mathematical physics
- Nuclear physics

- Optics, optical sciences
- Plasma, high-temperature physics
- Theoretical physics

### **Psychology**

- Clinical psychology
- Counseling and applied psychology
- Human development
- Research and experimental psychology

### **Social Sciences**

#### **Anthropology**

- Cultural anthropology
- Medical anthropology
- Physical and biological anthropology

#### **Economics**

- Applied economics
- Business development
- Development economics and international development
- Econometrics and quantitative economics
- Industrial economics
- International economics
- Labor economics
- Managerial economics
- Public finance and fiscal policy

#### **Political Science and Government**

- Comparative government
- Government
- Legal systems
- Political economy
- Political science
- Political theory

#### **Sociology, Demography, and Population Studies**

- Comparative and historical sociology
- Complex organizations
- Cultural and social structure
- Demography and population studies
- Group interactions
- Rural sociology
- Social problems and welfare theory
- Sociology

### **Non-Science and Engineering Fields**

#### **Business Management and Business Administration**

- Business administration
- Business management
- Business, managerial economics
- Management information systems and services
- Marketing management and research

#### **Communications**

- Communication and media studies
- Communications technologies



- Journalism
- Radio, television, and digital communication

### **Education**

- Education administration and supervision
- Education research
- Teacher education, specific levels and methods
- Teaching fields

### **Humanities**

- English language and literature, letters
- Foreign languages and literatures
- History, including history and philosophy of science and technology
- Humanities, general
- Liberal arts and sciences
- Philosophy and religious studies
- Theology and religious vocations

### **Law**

- Law
- Legal studies

### **Social Work**

- (no specific examples)

### **Visual and Performing Arts**

- Drama, theatre arts and stagecraft
- Film, video, and photographic arts
- Fine and studio arts
- Music