

Electronic Authorisation to Incur Expenditure Portal for Research Grants Manual

Version 0.5

<http://uonresearch.org/aie/>

Prepared by:

Prof. Madara Ogot

Deputy Vice-Chancellor, Research, Innovation and Enterprise
and

Ag. Deputy Vice-Chancellor, Finance, Planning and Development.

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Introduction

The Electronic Authority to Incur Expenditure (e-AIE) portal has been developed to enable processing of payment and advance requests for faculty with research or consultancy grants. It will form the foundation to move to a full electronic AIE approval process for grants. Emphasis has been placed on reducing the number of steps. For example, previously an advance required 12-13 steps before the payment process begun. This has now been reduced to 5.

1.1 Getting and Account

All participants in the process (principal investigators (PIs), grants office, principals, and DVCs) require an account to access the system. Those for grants office, principals, and DVCs have already been set up.

For PIs:

1. Send your account requests via email to madaraogot@uonbi.ac.ke cc: dvcrie@uonbi.ac.ke. The request MUST be made personally by the PI through their university email address.
2. Within 24 hrs an account will be set up and an email notification sent from *electronic-AIE Admin*, info@uonresearch.org.
3. Open the email and click on the link provided to set your password.

All accounts are set up using personal University of Nairobi emails. Account holders are instructed NOT to share their login credentials as their online approval will be equivalent to their electronic signature.

1.2 Accessing the System

To access the system (for all users):

1. Go to the portal page <https://uonresearch.org/aie/> and click on the *LOG IN* link on the top of the page. (see Fig. 1.1).
2. Enter your **university email address** and **password** to login (see Fig. 1.2).
3. To log out click on your name (in this example the name is *Test 1*), to bring up a new menu (see Fig. 1.3).
4. Click on *Log Out*.

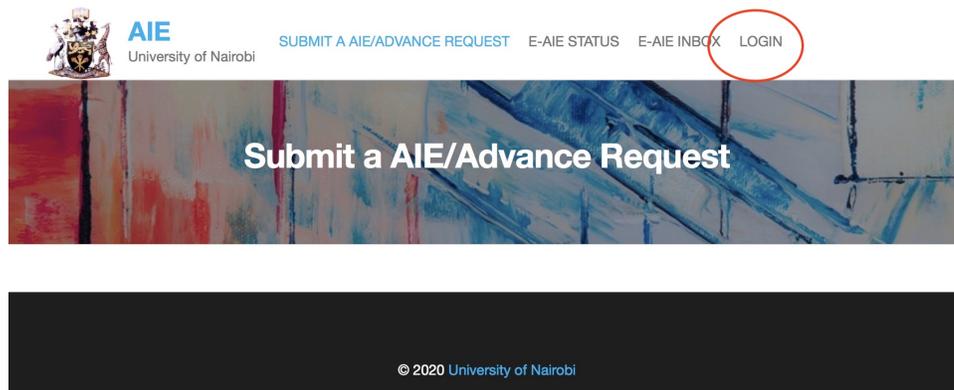


Figure 1.1 – *Landing page for AIE portal*

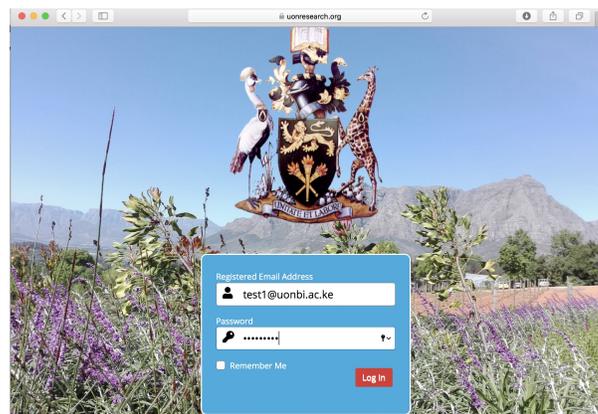


Figure 1.2 – *Login page*

The following chapters are presented in the context of the different roles each of the following actors play in the approval process.

1. Principal Investigator

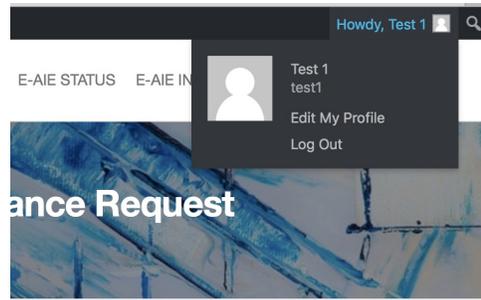


Figure 1.3 – Log Out menu

2. Grants Office
3. College Principals
4. DVC Finance, Planning and Development

Their roles and the process flow is shown in Figure 1.4.

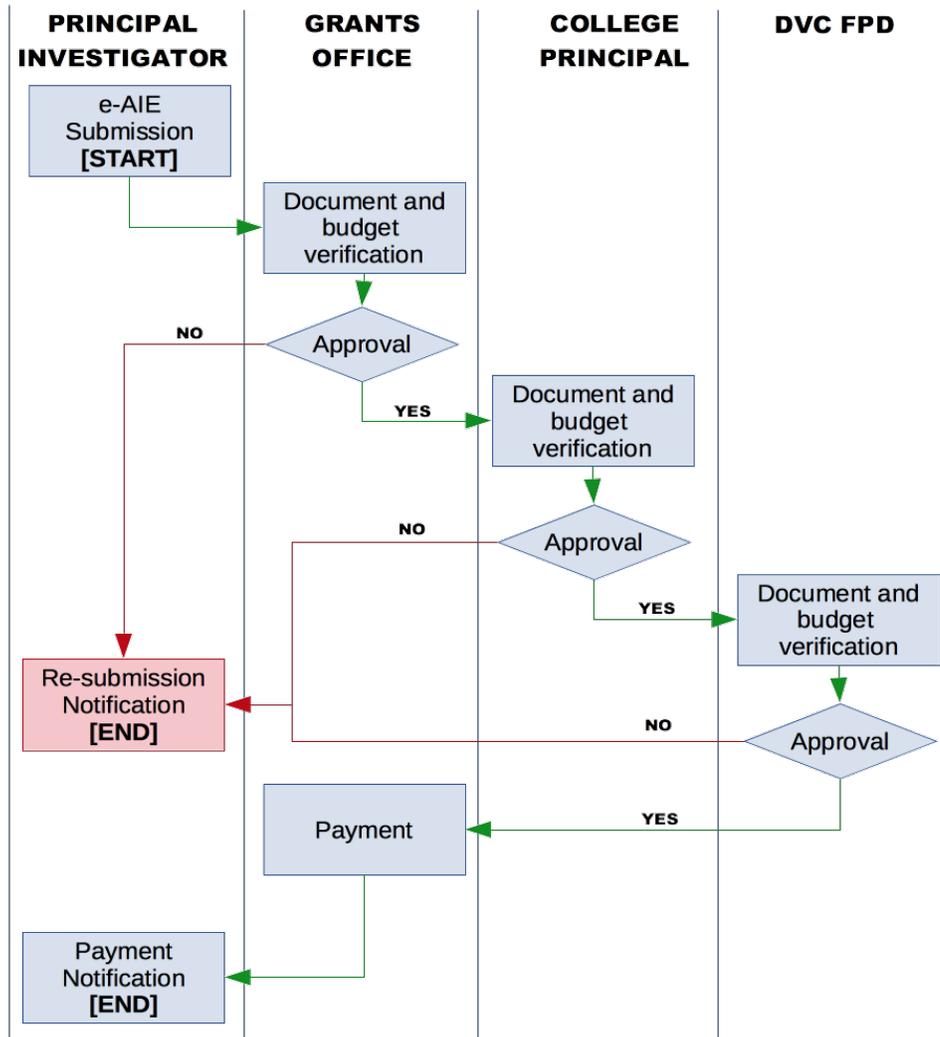


Figure 1.4 – Approval process flow

Principal Investigator

The principal investigator must PERSONALLY initiate the electronic AIE approval process. Submission of the request is their electronic signature, and therefore responsibility for the request. This cannot be delegated to any other researcher in the group or to administrative staff.

1. Once logged in, click on the *Electronic Authorisation to incur Expenditure (e-AIE)* link (see Fig. 2.1).
2. It brings up the typical entries found in the paper version of the AIE. Fill in all the required sections (they have a "*".) (see Fig. 2.2).
3. Attach the normal request letter and payment details that normally accompany the AIE. **This must be a SINGLE PDF document.**
4. The **Project Finances Section** shall be filled by the Grants Office and should be left blank (see Fig. 2.3).
5. When completed, press the *Submit for Approval Button*. NOTE: This represents your electronic signature on the e-AIE.

You can view the status of all your e-AIE requests at anytime by clicking on the *E-AIE STATUS* button on the top menu. It brings up a searchable list of all the e-AIEs you have submitted and their current status.

For example (see Fig. 2.4), the e-AIE submitted is shown as No. 12, with the status **Pending**, and at the **Grants Office Validation** step. The extreme right provides the duration since the e-AIE was submitted for approval.

2. PRINCIPAL INVESTIGATOR

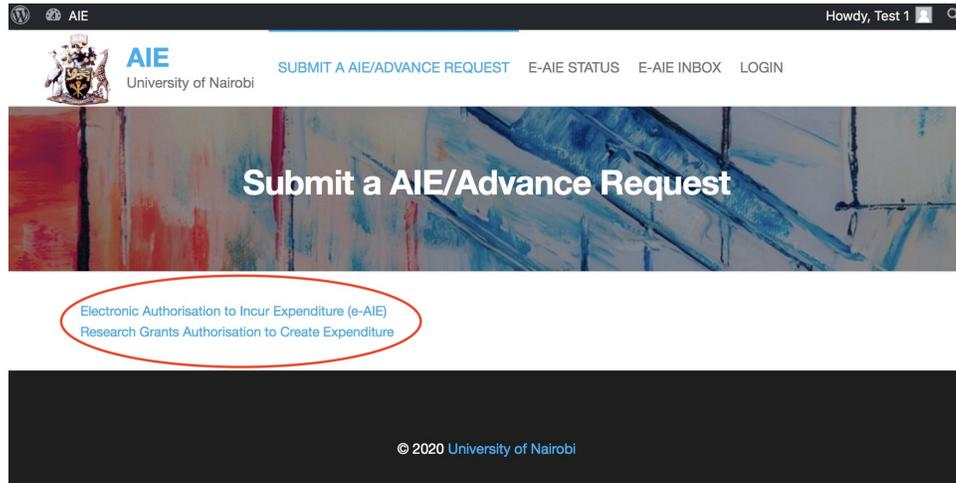


Figure 2.1 –

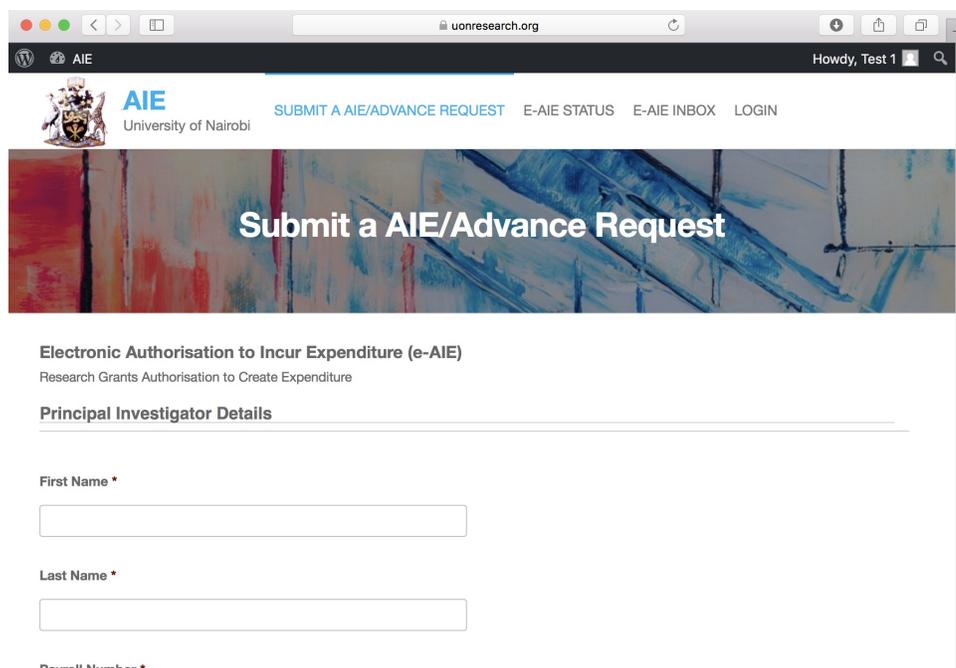


Figure 2.2 –

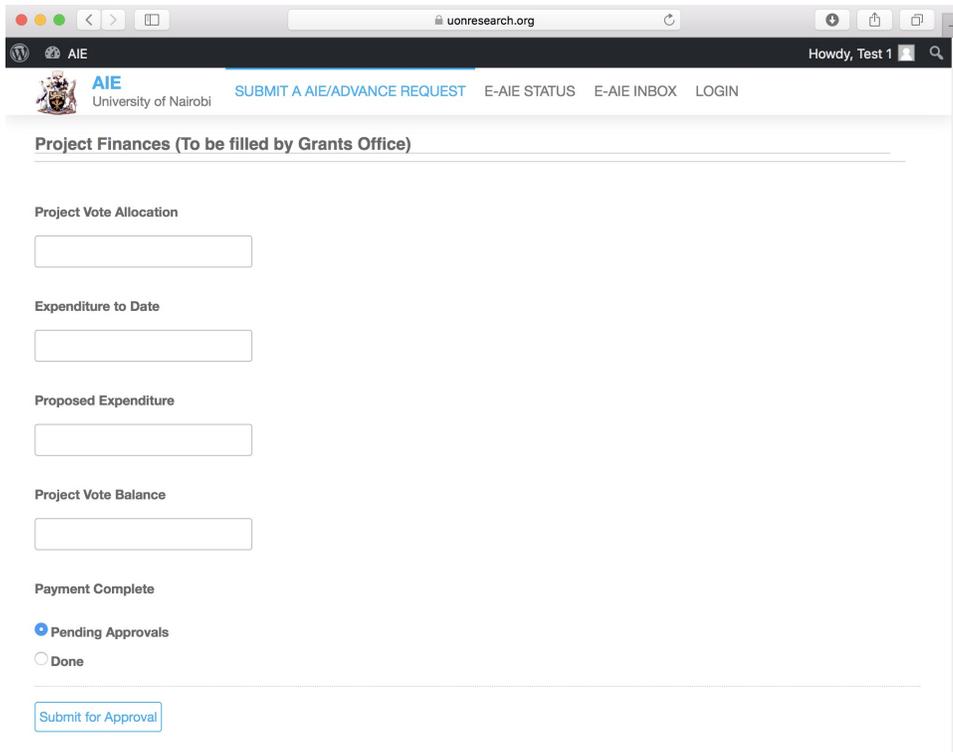


Figure 2.3 –

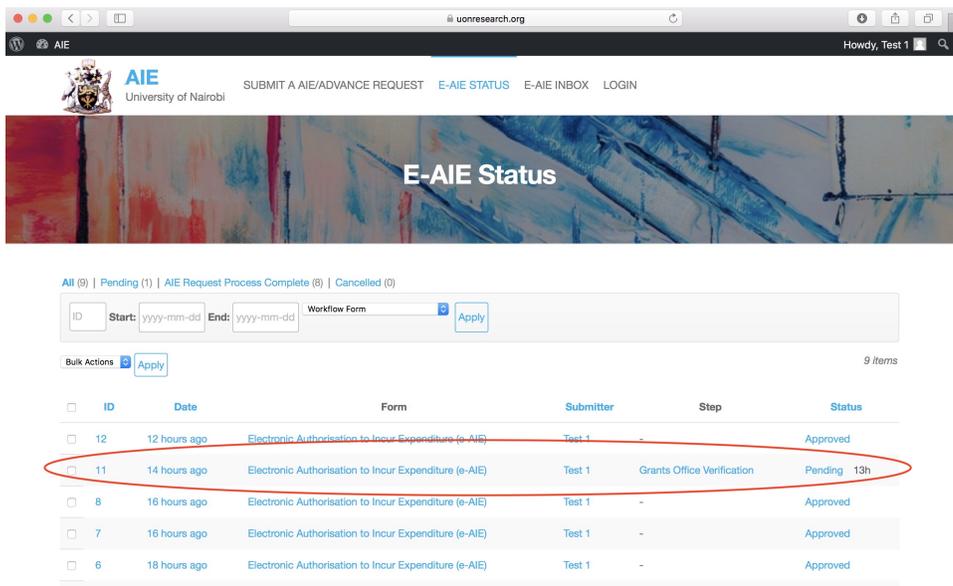
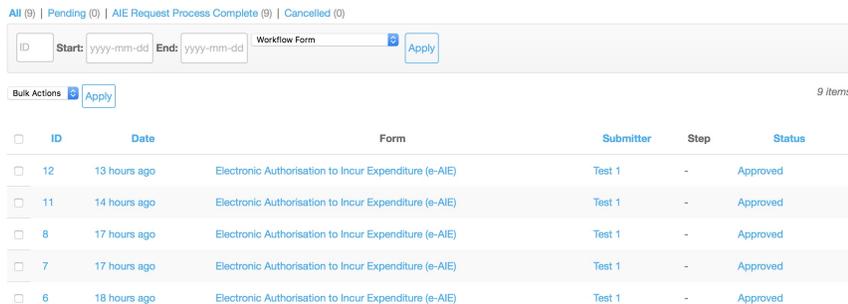


Figure 2.4 –

2. PRINCIPAL INVESTIGATOR

It is important to note that a submitted e-AIE cannot be changed. If there are errors or adjustments to be made, a new e-AIE must be generated. This security feature is to eliminate changes to contents of AIEs during and after approvals stages.

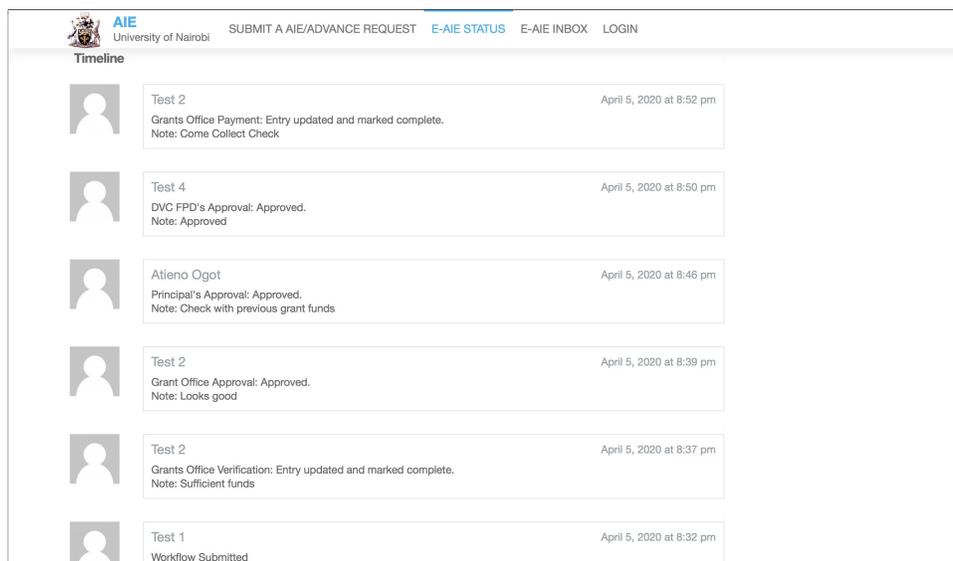
When an e-AIE process is fully complete it will appear in the your status list as *Approved* (see Fig. 2.5). Clicking on the specific e-AIE displays the payment details (see Fig. 2.6).



The screenshot shows a web interface for managing e-AIEs. At the top, there are filters for 'All (9)', 'Pending (0)', 'AIE Request Process Complete (9)', and 'Cancelled (0)'. Below this is a search bar with fields for 'ID', 'Start: yyyy-mm-dd', 'End: yyyy-mm-dd', and 'Workflow Form', with an 'Apply' button. A 'Bulk Actions' section also has an 'Apply' button. The main content is a table with 9 items, all of which are in the 'Approved' status.

ID	Date	Form	Submitter	Step	Status
12	13 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
11	14 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
8	17 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
7	17 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
6	18 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved

Figure 2.5 –



The screenshot shows the 'Timeline' section of the e-AIE system. It features a header with the University of Nairobi logo and navigation links: 'SUBMIT A AIE/ADVANCE REQUEST', 'E-AIE STATUS', 'E-AIE INBOX', and 'LOGIN'. The timeline consists of six entries, each with a user icon, a title, a description, and a timestamp.

User	Event	Timestamp
Test 2	Grants Office Payment: Entry updated and marked complete. Note: Come Collect Check	April 5, 2020 at 8:52 pm
Test 4	DVC FPD's Approval: Approved. Note: Approved	April 5, 2020 at 8:50 pm
Atieno Ogot	Principal's Approval: Approved. Note: Check with previous grant funds	April 5, 2020 at 8:46 pm
Test 2	Grant Office Approval: Approved. Note: Looks good	April 5, 2020 at 8:39 pm
Test 2	Grants Office Verification: Entry updated and marked complete. Note: Sufficient funds	April 5, 2020 at 8:37 pm
Test 1	Workflow Submitted	April 5, 2020 at 8:32 pm

Figure 2.6 –

Grants Office

The Grants Office approval is linked to the **Senior Accountant Grants** and the **Finance Officer**. These shall be modified in the future. Either one can take the required approval action.

The approval process passes through the Grants Office twice:

1. First step after the PI submission. During this step the Grants Office carries out document and budgetary verification and approval.
2. The second time is after College Principal and DVC FPD approvals for payment.

Each are presented separately.

3.1 Verification and Approval

1. Once logged in, click on the *E-AIE STATUS* top menu item.
2. The list of pending approvals is presented see (Fig. 3.1).
3. Click on the item to be reviewed for approval. The e-AIE opens with all the items entered in the by the PI for review including a link to the uploaded PDF letter containing all the details for the request (see Fig. 3.2 and 3.3).
4. After review, if all is in order, enter the budgetary values in the **Project Finances** section (see Figure 3.4 and 3.5.)

3. GRANTS OFFICE

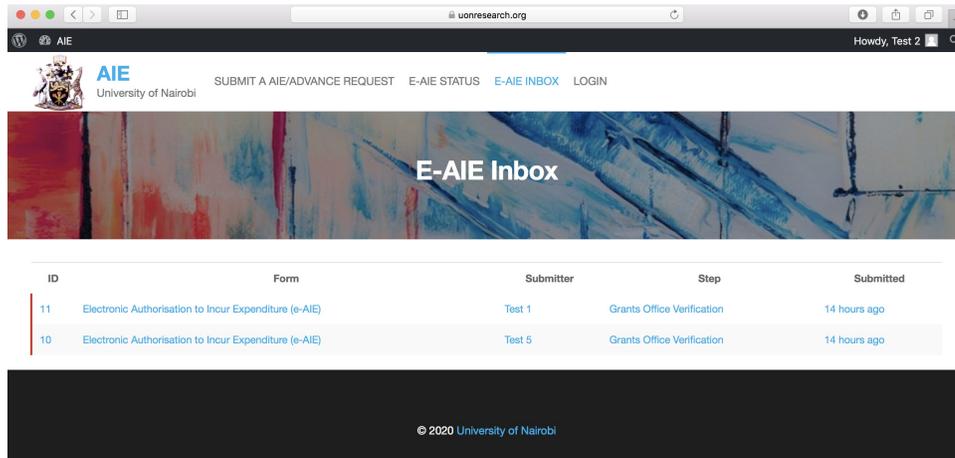


Figure 3.1 –

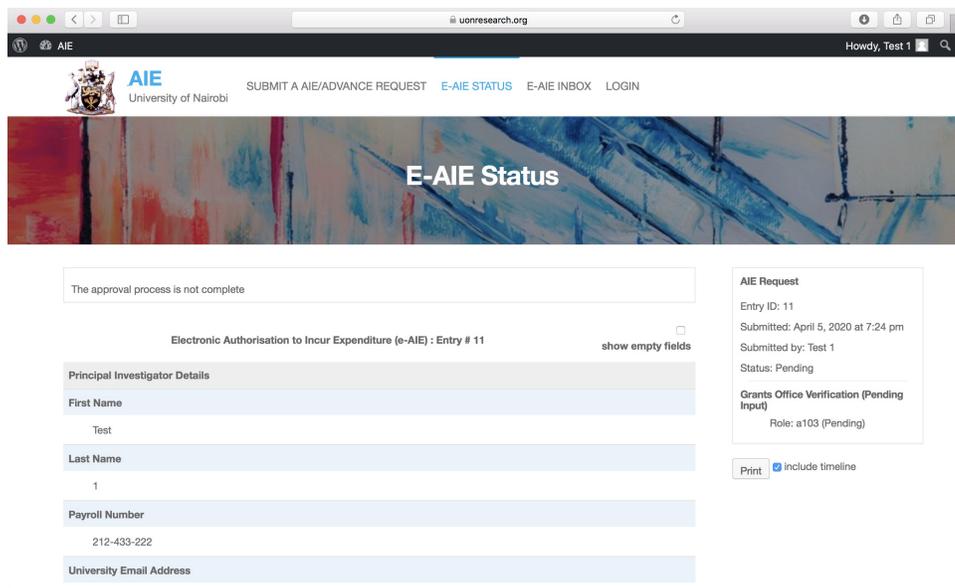


Figure 3.2 –

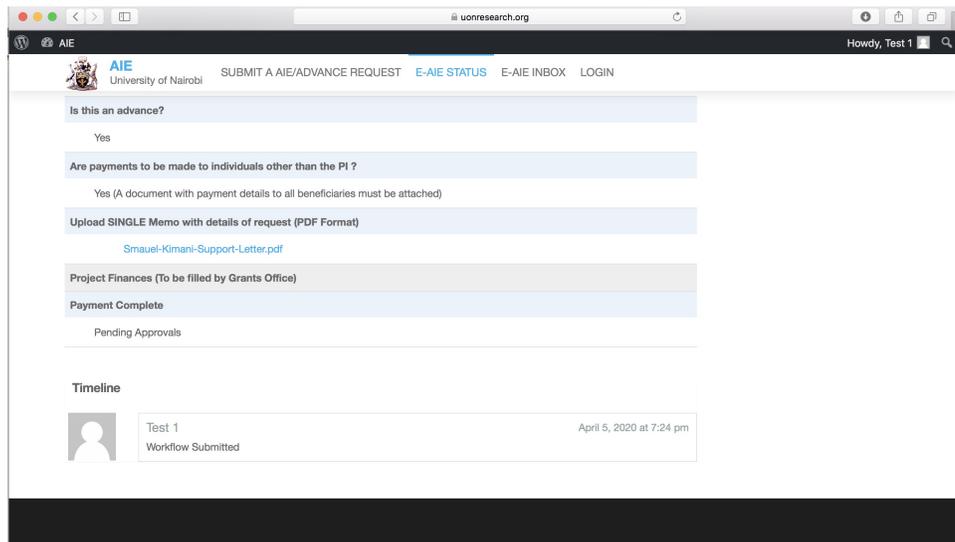


Figure 3.3 –

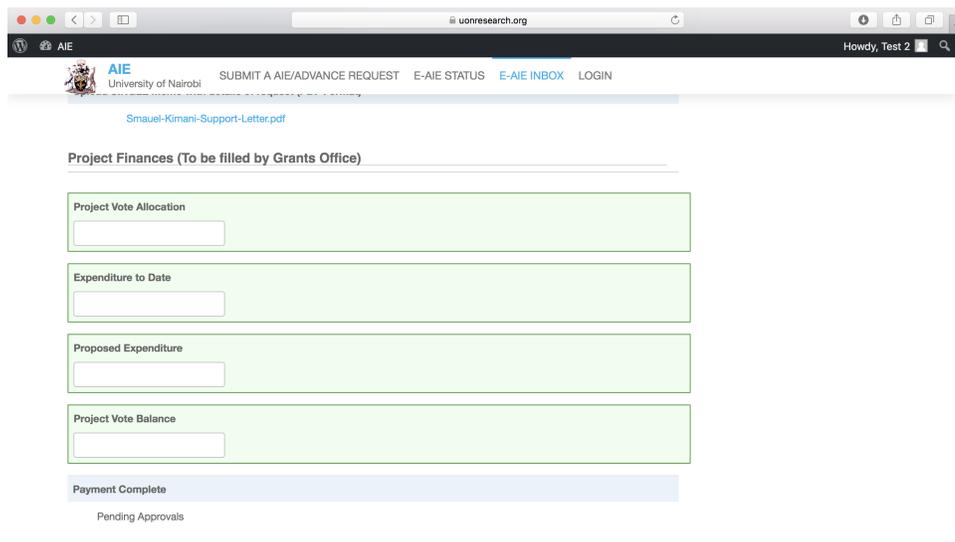


Figure 3.4 –

3. GRANTS OFFICE

The screenshot displays the AIE system interface for the University of Nairobi. The page title is 'Project Finances (To be filled by Grants Office)'. It contains four input fields for financial data, each with a light green background:

- Project Vote Allocation:** 4560909
- Expenditure to Date:** 23453
- Proposed Expenditure:** 23209
- Project Vote Balance:** 4514247

Below these fields is a 'Payment Complete' section with a light blue background, showing the status 'Pending Approvals'.

Figure 3.5 –

- On the top right of the screen enter a comment in the **Note** box, and **Submit**. Note these figures cannot be changed once submitted (see Fig. 3.6.)

The screenshot shows a web form for an AIE Request. On the left, there are several empty input fields and a 'show empty fields' checkbox. On the right, a summary box contains the following information:

- AIE Request**
- Entry ID: 11
- Submitted: April 5, 2020 at 7:24 pm
- Submitted by: Test 1
- Status: Pending

Below this is a section for 'Grants Office Verification (Pending Input)' with a role of 'a103 (Pending)'. A 'Note' field contains the text 'There are sufficient funds'. A 'Submit' button is located at the bottom right of this section. At the very bottom of the form, there is a 'Print' button and a checked checkbox for 'include timeline'.

Figure 3.6 –

- The approval **Timeline** with comments and approvals is updated. Note that the **Senior Account Grants** or **Finance Officer** is Test 2 in this example (see Fig. 3.7).

Project Vote Allocation	4560909
Expenditure to Date	23453
Proposed Expenditure	23209
Project Vote Balance	4514247
Payment Complete	Pending Approvals
Timeline	
	<p>Test 2 April 6, 2020 at 9:16 am</p> <p>Grants Office Verification: Entry updated and marked complete. Note: There are sufficient funds</p>
	<p>Test 1 April 5, 2020 at 7:24 pm</p> <p>Workflow Submitted</p>

Figure 3.7 –

3. GRANTS OFFICE

7. Make a final check, add a comment, and approve (see Fig. 3.8).¹ Note that a rejection, terminates this approval process and reverts back to the PI. The comments provided will enable a new corrected request to be made.

The screenshot shows a web form for an AIE Request. On the left, there are several empty text input fields. A checkbox labeled "show empty fields" is located between the first and second fields. On the right, a summary box contains the following information:

- AIE Request**
- Entry ID: 11
- Submitted: April 5, 2020 at 7:24 pm
- Last updated: April 6, 2020 at 9:16 am
- Submitted by: Test 1
- Status: Pending

Below this summary, it indicates "Grant Office Approval (Pending Approval)" with a role of "a103 (Pending)". A "Note" field contains the text: "All documents are in order, Principal Please approve." At the bottom of the summary box are two buttons: "Approve" (with a green checkmark icon) and "Reject" (with a red X icon). Below the summary box, there is a "Print" button and a checked checkbox labeled "include timeline".

Figure 3.8 –

If the PI were to log into their portal at this point they would see that the **Status** is still "Pending," but the **Step** has moved to "Principal's Approval." (see Fig. 3.9).

The screenshot shows a web browser displaying the AIE portal for the University of Nairobi. The page has navigation links for "SUBMIT A AIE/ADVANCE REQUEST", "E-AIE STATUS", "E-AIE INBOX", and "LOGIN". A table lists several requests. A red circle highlights the row for request ID 11, which is currently in the "Principal's Approval" step and has a status of "Pending" for 13 hours.

ID	Date	Form	Submitter	Step	Status
12	13 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
11	14 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	Principal's Approval	Pending 13h
8	16 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
7	17 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
6	18 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved
5	18 hours ago	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	-	Approved

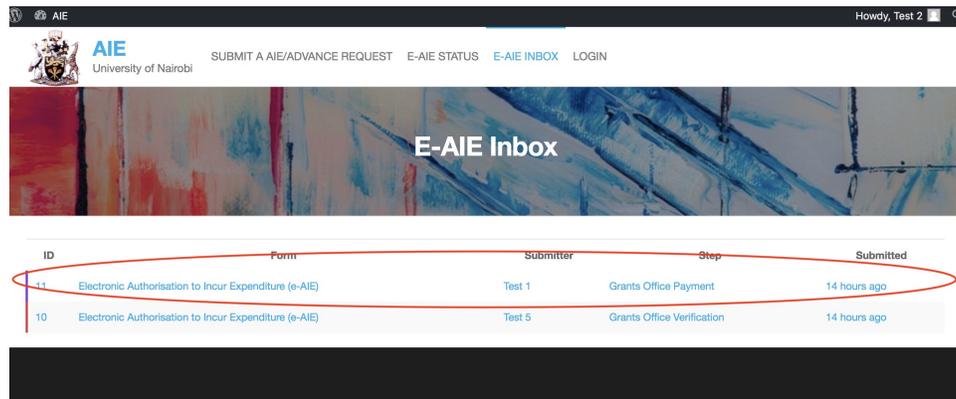
Figure 3.9 –

¹Future versions will separate these two steps between those in the grants office filling in the budgetary items, and the Senior Account Grants/FO approving

3.2 Payment

After approval by the DVC FPD, and

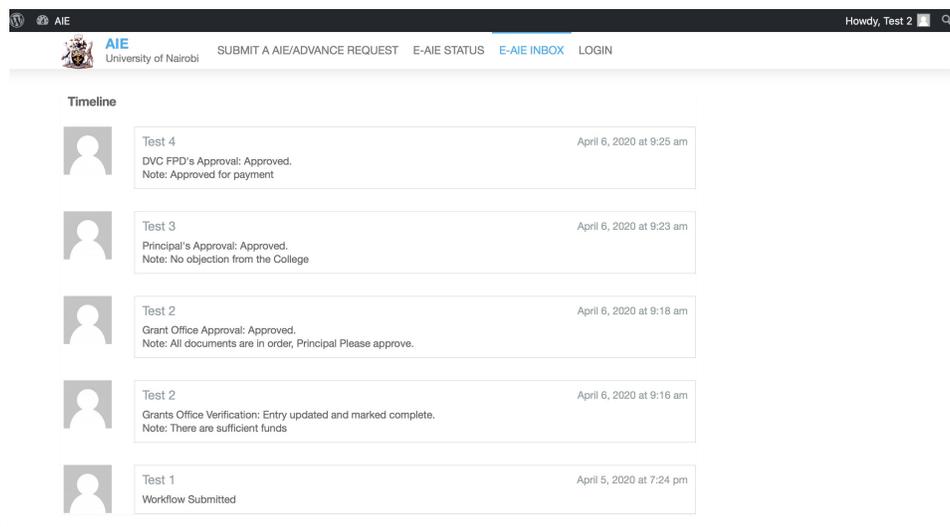
1. Once logged in, click on the *E-AIE STATUS* top menu item.
2. The list of pending approvals is presented see (Fig. 3.10).
3. Click on the item at **Step** *Grant's Office Payment*.
4. As before, all the details of the e-AIE are presented including all the approvals and comments are displayed on the **Timeline** at the bottom of the page (see Figure 3.11).



ID	Form	Submitter	Step	Submitted
11	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	Grants Office Payment	14 hours ago
10	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 5	Grants Office Verification	14 hours ago

(h)

Figure 3.10 –



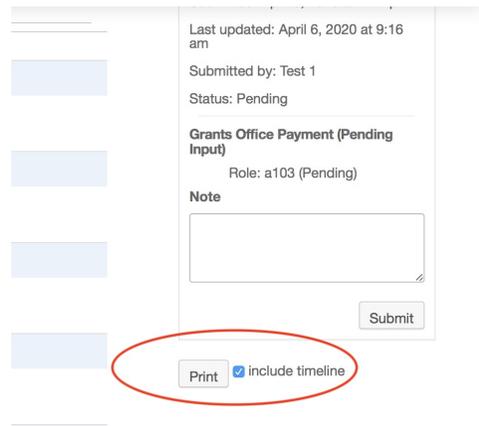
Step	Timestamp
Test 4 DVC FPD's Approval: Approved. Note: Approved for payment	April 6, 2020 at 9:25 am
Test 3 Principal's Approval: Approved. Note: No objection from the College	April 6, 2020 at 9:23 am
Test 2 Grant Office Approval: Approved. Note: All documents are in order, Principal Please approve.	April 6, 2020 at 9:18 am
Test 2 Grants Office Verification: Entry updated and marked complete. Note: There are sufficient funds	April 6, 2020 at 9:16 am
Test 1 Workflow Submitted	April 5, 2020 at 7:24 pm

(h)

Figure 3.11 –

3. GRANTS OFFICE

5. To facilitate the payment process within Finance, click on the *Print* button to obtain a printout of all the entries in the e-AIE including all the comments and electronic approvals (see Fig. 3.12). This take the place of the traditional AIE (see Fig. 3.13 and 3.14.)
6. In addition, print out the uploaded detailed request letter (see Fig. 3.15.)



The screenshot shows a web form for a Grants Office Payment. The form is titled "Grants Office Payment (Pending Input)" and includes the following information: "Last updated: April 6, 2020 at 9:16 am", "Submitted by: Test 1", and "Status: Pending". Below this, it says "Role: a103 (Pending)". There is a "Note" field which is currently empty. A "Submit" button is located at the bottom right of the form. At the bottom left, there is a "Print" button and a checked checkbox labeled "include timeline". A red circle is drawn around the "Print" button and the "include timeline" checkbox.

Figure 3.12 –

7. Finally, when the payment is done, update the payment status on the AIE (see Fig. 3.16).
8. Complete the AIE request by updating the **Note** box on the top right of the screen, and press the *Submit* button (see Fig. 3.17). **This completes the process for this e-AIE.**

Electronic Authorisation to Incur Expenditure (e-AIE) : Entry # 11
Principal Investigator Details
First Name Test
Last Name 1
Payroll Number 212-433-222
University Email Address test1@uonresearch.org
Department Mechanical and Aerospace
College CHS
Project and Request Details
Vote No. 322-55-4333
Purpose of the Request: df df df dfd f dfdsdmkdm ererere
Amount Requested (KES) 23209
Is this an advance? Yes
Are payments to be made to individuals other than the PI ? Yes (A document with payment details to all beneficiaries must be attached)
Upload SINGLE Memo with details of request (PDF Format) <ul style="list-style-type: none"> • Smauel-Kimani-Support-Letter.pdf

Figure 3.13 –

3. GRANTS OFFICE

Project Finances (To be filled by Grants Office)	
Project Vote Allocation	
4560909	
Expenditure to Date	
23453	
Proposed Expenditure	
23209	
Project Vote Balance	
4514247	
Payment Complete	
Pending Approvals	

	Test 4 DVC FPD's Approval: Approved. Note: Approved for payment	April 6, 2020 at 9:25 am
	Test 3 Principal's Approval: Approved. Note: No objection from the College	April 6, 2020 at 9:23 am
	Test 2 Grant Office Approval: Approved. Note: All documents are in order, Principal Please approve.	April 6, 2020 at 9:18 am
	Test 2 Grants Office Verification: Entry updated and marked complete. Note: There are sufficient funds	April 6, 2020 at 9:16 am
	Test 1 Workflow Submitted	April 5, 2020 at 7:24 pm

Figure 3.14 –

Are payments to be made to individuals other than the PI ? *
Yes (A document with payment details to all beneficiaries must be attached)

Upload SINGLE Memo with details of request (PDF Format) *
[Smauel-Kimani-Support-Letter.pdf](#)

Project Finances (To be filled by Grants Office)

Project Vote Allocation
4560909

Figure 3.15 –

4514247

Payment Complete
 Pending Approvals
 Done

Figure 3.16 –

show empty fields

AIE Request
Entry ID: 11
Submitted: April 5, 2020 at 7:24 pm
Last updated: April 6, 2020 at 9:16 am
Submitted by: Test 1
Status: Pending

Grants Office Payment (Pending Input)
Role: a103 (Pending)

Note
Payment Done. Funds transferred to bank account details provided

Submit

Print include timeline

Figure 3.17 –

3.3 Archives

All e-AIEs can be viewed (including their current **Step** and **Status**) by the Grants Office, Finance Officer, all Principals, DVCs and the VC.

1. Click on *AIE* link on the top left corner of the screen.
2. Click on the *Dashboard* link (see Fig. 3.18).
3. A panel appears as shown in Fig. 3.19.
4. Click on *Forms* link to display all the e-AIEs.

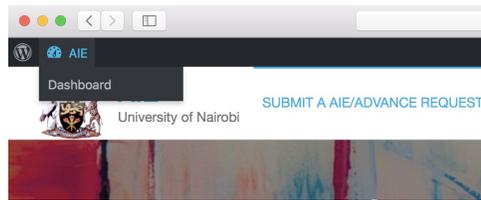


Figure 3.18 –

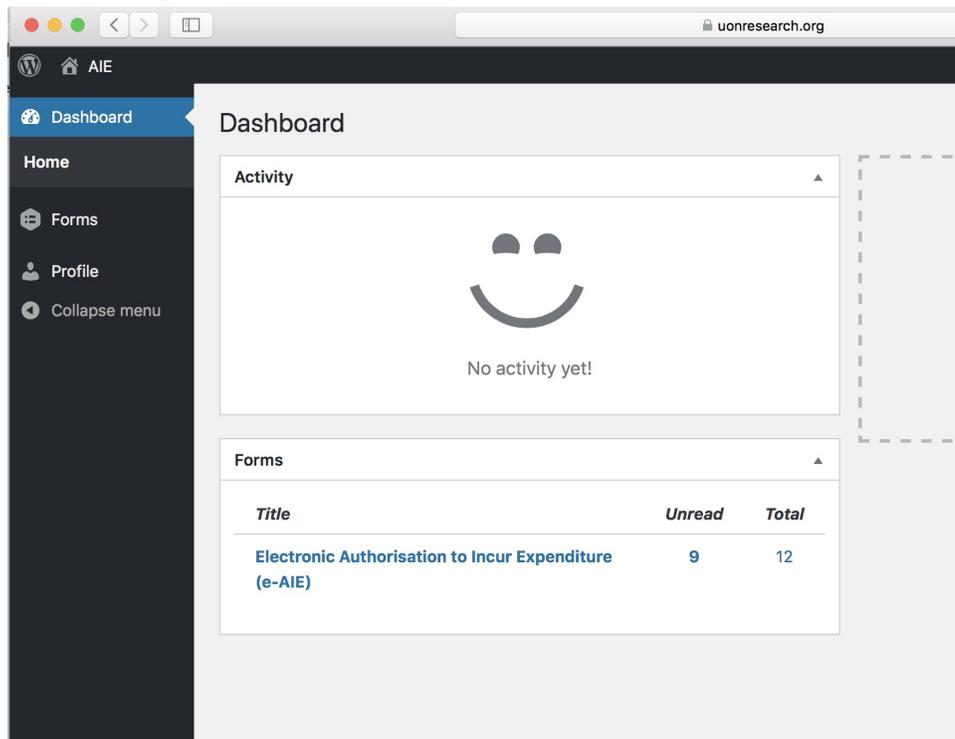


Figure 3.19 –

Howdy, Test 2

All (12) | Unread (9) | Starred (0) | Trash (0)

Any form field contains Search

Bulk Actions Apply 12 Items

<input type="checkbox"/>	Entry Id	Vote No.	First Name	Last Name	Department	University Email Address	Final Status	Workflow Step
<input type="checkbox"/> *	12	219-009-999	TEST	!	Mechanical Engineering	test1@uonresearch.org	approved	
<input type="checkbox"/> *	11	322-55-4333	Test	1	Mechanical and Aerospace	test1@uonresearch.org	approved	
<input type="checkbox"/> *	10	3334-009-433	test	5	Mechanical and Aerospace	test5@uonresearch.org	pending	Grants Office Verification
<input type="checkbox"/> *	9	342-098-212	Test	5	Mechanical and Aerospace	test5@uonresearch.org	approved	
<input type="checkbox"/> *	8	214-990-898	Test	1	Mechanical Engineering	test1@uonresearch.org	approved	
<input type="checkbox"/> *	7	218-900-989	Test	1	Mechanical Engineering	test1@uonresearch.org	approved	
<input type="checkbox"/> *	6	213-9088-00	Test	1	Mechanical Engineering	test1@uonbil.ac.ke	approved	

Open "https://uonresearch.org/ais/wp-admin/admin.php?page=uf_entries&view=entry&id=1&id=12&order=ASC&filter=&paged=1&pos=0&field_id=&operator=" in a new tab.

Figure 3.20 –

College Principals

The approval process next moves to the College Principals. The principal the process is directed to will be determined by the college selected by the PI when filling out the e-AIE. **The approval is personal to the principal and linked to their personal university email account. This role should not be delegated as approvals represents the electronic signature of the principal.**

1. Once logged in, click on the *E-AIE STATUS* top menu item.
2. The list of pending approvals is presented (see Fig. 4.1).
3. Click on the item to be worked on (see Fig. 4.2).
4. All the details of the request are presented, including the link to download the detailed request letter, as well as the previous approvals and comments from the grants office (see Fig. 4.3-4.5).

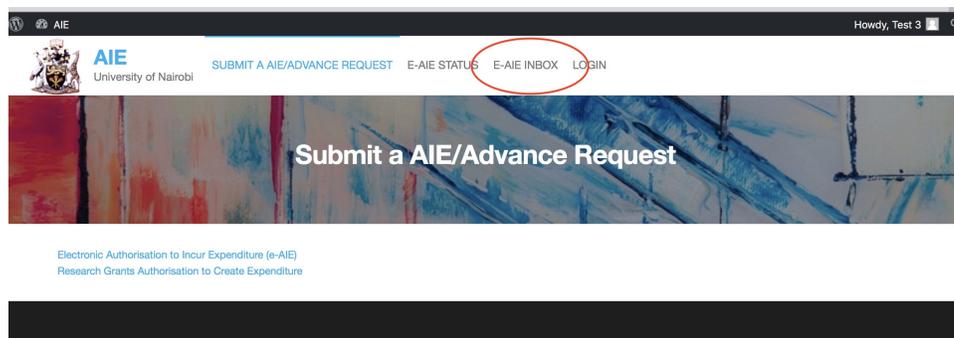
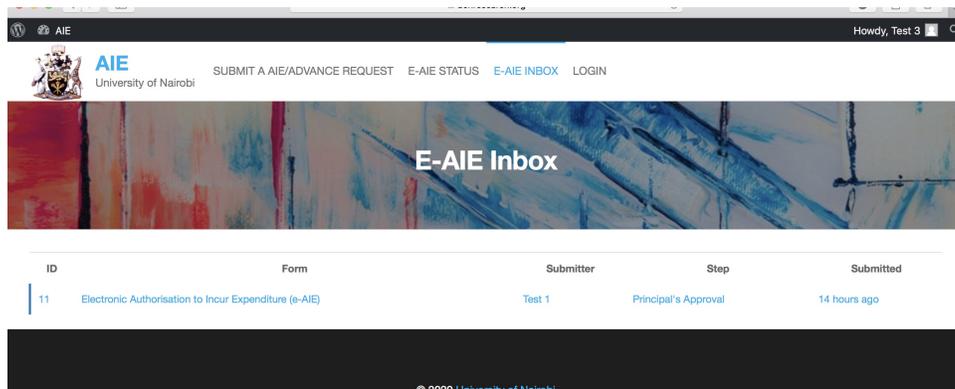


Figure 4.1 –

4. COLLEGE PRINCIPALS

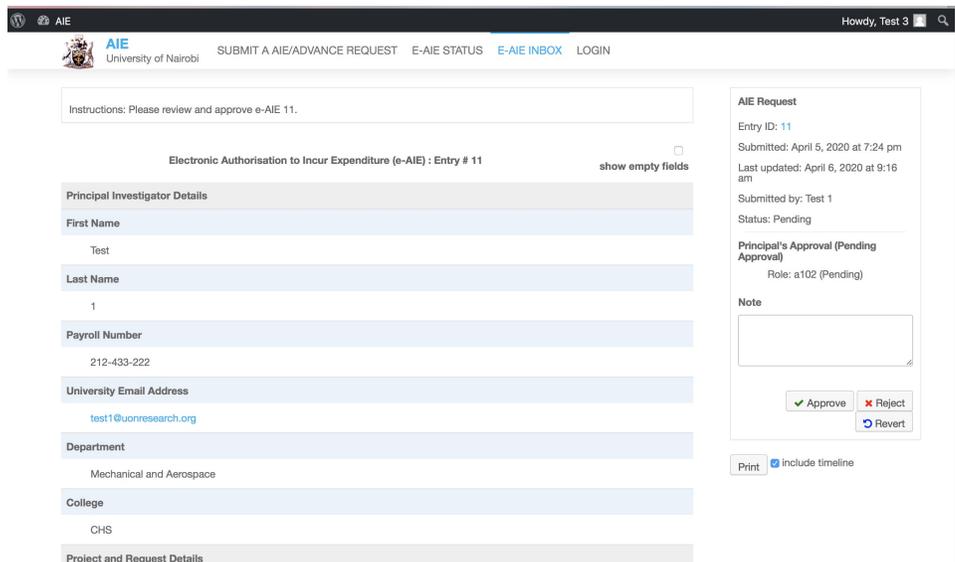


The screenshot shows the 'E-AIE Inbox' page. At the top, there is a navigation bar with the University of Nairobi logo and links for 'SUBMIT A AIE/ADVANCE REQUEST', 'E-AIE STATUS', 'E-AIE INBOX', and 'LOGIN'. Below the navigation bar is a header with the text 'E-AIE Inbox'. The main content area features a table with the following data:

ID	Form	Submitter	Step	Submitted
11	Electronic Authorisation to Incur Expenditure (e-AIE)	Test 1	Principal's Approval	14 hours ago

At the bottom of the page, there is a copyright notice: '© 2020 University of Nairobi'.

Figure 4.2 –



The screenshot shows the details of an E-AIE request. The page includes the following sections:

- Instructions:** Please review and approve e-AIE 11.
- Electronic Authorisation to Incur Expenditure (e-AIE) : Entry # 11** (with a 'show empty fields' checkbox).
- Principal Investigator Details:**
 - First Name: Test
 - Last Name: 1
 - Payroll Number: 212-433-222
 - University Email Address: test1@uonresearch.org
 - Department: Mechanical and Aerospace
 - College: CHS
- Project and Request Details:** (Section header only, no data visible).
- AIE Request Summary:**
 - Entry ID: 11
 - Submitted: April 5, 2020 at 7:24 pm
 - Last updated: April 6, 2020 at 9:16 am
 - Submitted by: Test 1
 - Status: Pending
- Principal's Approval (Pending Approval):** Role: a102 (Pending)
- Note:** (Empty text area)
- Actions:** Approve, Reject, Revert
- Print:** include timeline

Figure 4.3 –

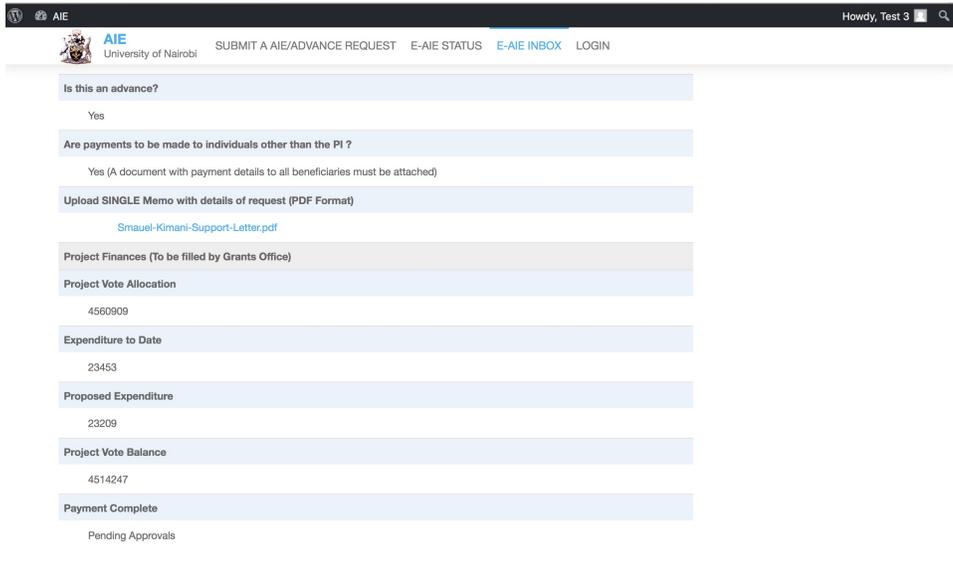


Figure 4.4 –

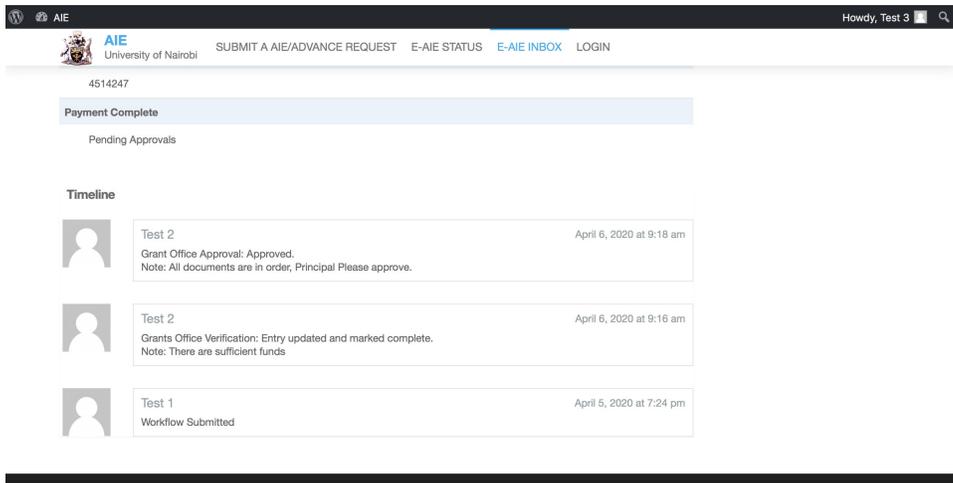


Figure 4.5 –

4. COLLEGE PRINCIPALS

5. After review, on the top right of the screen, enter comments and approve the request on behalf of the college (see Fig. 4.6). Note that a rejection, terminates this approval process and reverts back to the PI. The comments provided will enable a new corrected request to be made.

The screenshot shows a web interface for an 'AIE Request'. At the top left, there is a 'LOGIN' link. The main content area is divided into two columns. The left column contains several blue rectangular buttons, with a 'show empty fields' checkbox above them. The right column displays the request details: 'Entry ID: 11', 'Submitted: April 5, 2020 at 7:24 pm', 'Last updated: April 6, 2020 at 9:16 am', 'Submitted by: Test 1', and 'Status: Pending'. Below this, it shows 'Principal's Approval (Pending Approval)' with 'Role: a102 (Pending)'. A 'Note' section contains a text box with the text 'No objection from the College'. At the bottom of the right column are three buttons: 'Approve' (with a green checkmark), 'Reject' (with a red X), and 'Revert' (with a blue circular arrow). At the very bottom of the interface are 'Print' and 'Include timeline' (checked) options.

Figure 4.6 –

4.1 Archives

To view status of all e-AIEs please see instructions in the **Archives Section** of the **Grants Office Chapter** on page 20.

DVC FPD

The approval process next moves to the DVC FPD. **The approval personal to the DVC and linked to his/her personal university email account. This role should not be delegated as the approval represents the electronic signature of the DVC.** Also included are the other DVCs and the VC, through their personal emails. They can make the approvals if the DVC FPD is not available (leave, travel, etc.).

1. Once logged in, click on the *E-AIE STATUS* top menu item.
2. The list of pending approvals is presented (see Fig. 5.1).
3. Click on the items to be worked on
4. All the details of the request are presented, including the link to download the detailed request letter, as well as the previous approvals and comments from the Grants Office and the College Principal (see Fig. 5.2).
5. After review, on the top right of the screen, enter comments and approve the request on behalf of the university (see Fig. 5.3). **Note that a rejection, terminates this approval process and reverts back to the PI. The comments provided will enable a new corrected request to be made.**

5.1 Archives

To view status of all e-AIEs please see instructions in the **Archives Section** of the **Grants Office Chapter** on page 20.

5. DVC FPD

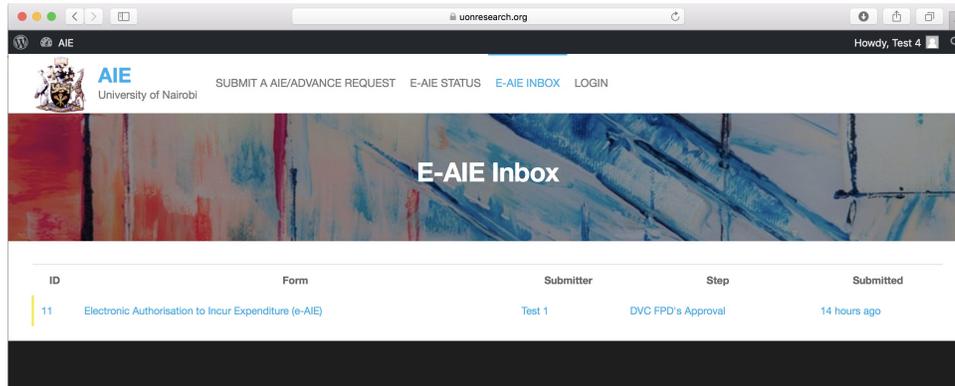


Figure 5.1 –

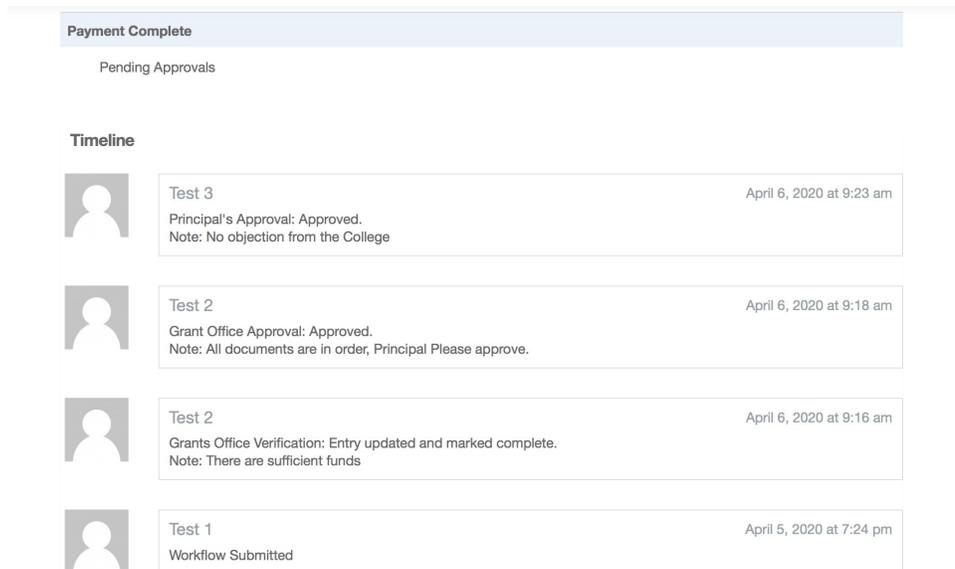


Figure 5.2 –

The screenshot displays a web interface for an AIE Request. On the left side, there is a vertical sidebar with a search bar at the top, a 'show empty fields' checkbox, and several blue horizontal bars representing a list of items. The main content area on the right is titled 'AIE Request' and contains the following information:

- Entry ID:** 11
- Submitted:** April 5, 2020 at 7:24 pm
- Last updated:** April 6, 2020 at 9:16 am
- Submitted by:** Test 1
- Status:** Pending

Below this information, there is a section for 'DVC FPD's Approval (Pending Approval)' with the role 'a105 (Pending)'. A 'Note' field contains the text 'Approved for payment'. At the bottom of the main content area, there are three buttons: 'Approve' (with a green checkmark icon), 'Reject' (with a red X icon), and 'Revert' (with a blue circular arrow icon). At the very bottom of the interface, there is a 'Print' button and a checked checkbox labeled 'include timeline'.

Figure 5.3 –