California State University, Sacramento
Office of Research, Innovation, and Economic Development
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ePAF Form Field Instructions

The purpose of the electronic Proposal Approval Form (ePAF) is to request the approval of department chairs, deans, and administrative officials for the activity proposed by their faculty or staff as required by CSU Chancellor's Office and Sacramento State policies. ePAFs must be completed for all new grant and contract proposals, and for amendments and supplements that add funds to existing awards. In signing, approvers acknowledge receipt of information about the proposed project and indicate approval to submit the proposal to the funding agency.

In accordance with review and approval requirements outlined in ICSUAM 11000 and campus policy ACA-152, a proposal approval form accompanied by an abstract of the project and a draft budget, must be completed PRIOR to the submission.

Project Information Section

Field Name	Instructions	Required?
Principal Investigator (PI):	Indicate the primary investigator. PIs must meet the guidelines for serving as a PI and, in signing the PAF, accepts responsibility to carry out commitments as outlined in the proposal or contract within the time limits and budgetary resources provided, and agrees to comply with Sacramento State and University Enterprises, Inc. policies and procedures regarding the administration of funds. If cost sharing is required, the PI attests that approval for such resources has been secured. *Maximum 60 characters with spaces.*	Required
PI Department:	Indicate PI's primary academic department or unit. *Maximum 135 characters with spaces.*	
PI ORCID ID:	Unique digital identifier used by funding agencies, editors, publishers, and institutions to reliably identify individual researchers. Sac State faculty are encouraged to register for a free ORCID account. To register visit: https://orcid.org/register	Optional
Sponsor	Indicate the agency or entity from which Sac State will directly receive the project funding. In the case of a subcontract/subaward, 1) indicate the university, agency or organization that Sacramento State will receive the funds from if awarded, and 2) under Type of Award, indicate the prime sponsor where the funds originate. *Maximum 100 characters with spaces.*	Required
Sponsor Type	Select the type of sponsoring agency or entity. Options include: • **Federal Agency** includes mission agencies such as the US Department of Education and Department of the Interior and independent agencies such as NSF, NEH and NEA. • **State Government** includes state agencies, commissions, and boards. • **Local Government** includes counties, cities, local education agencies, etc.	Required

	• **Business/Industry** includes profit making companies and firms. • **Nonprofit** includes private foundations, corporate foundations, professional organizations, and other not-for-profits. Note: international organizations and governmental entities should be coded as Other. • **Other:** includes universities, international organizations, etc.	
Funding Type	Options include: • **New**: An original proposal submission and/or award of funds for a project. • **Amendment**: A revision to a contract resulting in additional funds, an extension of time, etc. • **Supplement**: A proposal for additional grant funds to be awarded during the current project period. • **Revision**: A formal proposal submission that reflects a change in the scope of work and/or the budget of a proposal that was previously submitted to the agency but was not funded.	Required
Due Date Type	Options include: • **Open:** No specific deadline; may include a target date or funding window. Proposals for open deadlines to be submitted after all necessary approvals are obtained. • **Specific Date:** a hard deadline set by the sponsor. If selected, indicate the date. • **Contract or amendment in development:** prompt review is appreciated to facilitate continued development of agreement.	Required
Submission Type	Indicate one of the following: • **Competing:** Typically, a proposal that will be formally reviewed through a peer review or other competitive process. • **Non-competing:** Typically, a contract for professional or research services or a proposal solicited at the request of a private foundation/funder.	Required
Type of Project	Indicate the primary project activity/objective. Options include: • **Basic Research**: Defined as experimental or theoretical work undertaken primarily to acquire new knowledge of the underlying foundations of phenomena and observable facts, without any particular application or use in view. • **Applied Research:** Defined as research conducted to gain the knowledge or understanding to meet a specific recognized need, practical aim, or objective. Includes survey research. • **Developmental Research:** Defined as the systematic use of the knowledge or understanding gained from research directed toward the production of useful materials, devices, systems, or methods including the design and development of prototypes and processes. • **Training** includes instructional and professional development activities for individuals not employed by the institution. • **Curriculum development** includes the creation or improvement of a course or group of courses in a particular field.	Required

	Equipment includes donations of equipment or funds for equipment for research or classroom use.	
	• **Student support** includes scholarships, stipends and fellowships for <u>Sacramento State students</u>.	
	• **Other**	

Project Information Section

Field Name	Instructions	Required?
Type of Award	Indicate the type of award that is anticipated. Please select only one. • **Grant:** An award of financial assistance for the conduct of research or other programs. A grant is used whenever the awarding sponsor anticipates no substantial programmatic involvement with the recipient during the performance of the activities. • **Contract:** A mechanism for procuring a product or service with specific obligations for both the sponsor and recipient. • **Cooperative agreement:** An award similar to a grant, however, the sponsor may have actively participated in the programmatic design and, once awarded, may also actively participate or have substantial involvement in project activities. • **Subagreement:** A subcontract or subaward that transfers a portion of the research or project activity of the prime award to Sacramento State. A subagreement is written under the authority of, and consistent with the terms and conditions of the prime award. <u>If selected, indicate the name of the prime sponsor.</u> • **Other:** Other types of agreements such as Work Plans, MOUs, letters of agreement, purchase orders, etc.	Required
FY Submitted	Indicate the fiscal year the proposal will be submitted. This field is used in the creation of the PAF's unique ID. Examples: FY 2020 = AY 2019/20; FY 2021 = AY 2020/21	Required
Federal Pass Through	Indicate if this project will include federal funds being issued or passed through to Sacramento State. If yes, indicate the CFDA # and corresponding federal agency if known.	Required
ORIED Contact	Indicate the primary point of contact within the Offices of Research, Innovation, and Economic Development (ORIED) assisting with the preparation/development of the grant proposal or contract	Required
ORIED Involvement	For Internal ORIED Use - Indicate the level of ORIED involvement in the development of the proposal.	ORIED Use
GM Entry Required?	For Internal ORIED Use – Default to Yes	ORIED Use
Expedited?	For Internal ORIED Use –Expedited workflow is an exception process utilized when there is a limited amount of time before the submission deadline and to ensure the approvals of the AVP for Research, Innovation, and Economic Development and the Chief Financial Officer of the university (or their designees) are obtained prior to submission of the proposal as required by ICSUAM 11000.	ORIED Use
Project Title	Provide a descriptive title of the grant proposal or contract. *Maximum 100 characters with spaces.*	Required

	Indicate the number of Co-PI's and if applicable, include their names and departments.	If applicable
How many Co-Principal Investigators are there?		

Proposed Budget Section

Field Name	Instructions	Required?
Anticipated Project Start and End Date:	Identify the dates anticipated for the entire project period. Format is MM/DD/YYYY	Required
F&A Cost Rate	Specify the budgeted facilities and administrative (F&A)/ indirect cost rate percentage.	Required
F&A Base	Indicate the type of direct costs basis used in the F&A calculation. Options include: • **Modified Total Direct Costs (MTDC):** When applying this base, F&A is calculated on all direct costs excluding the following items: equipment, capital expenditures, charges for patient care, rental costs, tuition, scholarships and fellowships (stipends), participant support costs, and the portion of each subaward in excess of $25,000. • **Total Direct Costs (TDC):** F&A is calculated on ALL direct costs. • **Other:** F&A is calculated in accordance with funder specified exclusions. *Maximum 150 characters with spaces for description.*	Required
F&A Rate is	Indicate how the F&A/indirect was determined. Options include: • **University's federally approved rate.**. • **Funder mandate rate** specified in the application guideline, solicitation, RFP, etc. • **Rate approved for center using billing rates.** Billing rates are approved annually by the AVP for Research, Innovation, and Economic Development • **AB20/CMA compliant rate.** Rate compliance with current UC/CSU system office guidance for grants and contracts using the California Model Agreement (CMA). • **Rate exception.** Rate exceptions must be approved by the AVP for Research, Innovation, and Economic Development. The date the approval was obtain must be indicated and a copy of the approval must be maintained in the ORIED proposal file.	Required
# of Budget Periods	Select the appropriate number of budget periods from the drop-down menu. A budget period is typically 12 months.	Required
Requested Funds	Detail the funds requested for each budget period. Specify the requested direct project costs, the requested facilities and administrative (F&A)/indirect costs, and cost share if applicable. For amendments, specify the funds that have been added to the current year and any subsequent budget periods	Required

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Cost Sharing/Matching Funds Section

In accordance with University and UEI policy, cost sharing may only be included in proposals when specifically required by the funding agency. Cost sharing is defined as any portion of the total project costs quantified in the proposal and funded by sources other than the sponsoring agency. Cost sharing can be cash, in-kind (i.e., contributions without compensation, such as personnel effort, fringe benefits, supplies, services, etc.) or a combination of both. Matching funds is a specific type of cost sharing where the sponsor awards funds in direct proportion to the funds which the grantee contributes to the project. Requirements for matching funds are usually identified in the application guidelines as a specific percent or fraction of the total project budget. UEI is required to track cost sharing and report the costs back to the sponsoring agency as a way of verifying that the commitment to fund a portion of the total project costs has been fulfilled. For more, visit: https://www.csus.edu/experience/innovation-creativity/oried/documents/costsharingpolicy.pdf

Field Name	Instructions	Required?
Cost Sharing is	Indicate if cost share is: • Not applicable • Mandatory • Voluntary	Required
If Mandatory or Voluntary	If applicable, specify if the cost share will be cash, in-kind and/or committed by a third party. Additionally, the cost share requirement and details on what will be contributed and by whom must be included in the detailed line-item budget which is uploaded as an attachment.	If applicable

Personnel and Professional Services Section

Field Name	Instructions	Required?
Reimbursed Time	Indicate if faculty will be released from a portion of their teaching units to perform work on the project. With reimbursed time, the University will bill UEI for the release time and associated benefits and the cost will be charged to the account.	Required
Additional Employment	Indicate if faculty or staff are budgeted to perform work that is in addition to their primary University appointment. Additional employment may include work during the academic year, summer, and/or winter session. When applicable, ORIED will attach a report from the University Faculty Effort Reporting System detailing current additional employment commitments during the proposed project period for circulation with the Proposal Approval Form. For more on faculty additional employment including limits see: https://www.csus.edu/academic-affairs/faculty-advancement/internal/additional-employment.html	Required
New UEI staff or student positions	Indicate if any new project staff or student positions will need to be hired through University Enterprises, Inc. (UEI) in the event the proposal is funded. If yes, indicate the type of position(s) – student, part-time staff, or full-time staff.	Required
Sensitive Positions	Indicate if the project will include work with minors; animals; cash, checks, or credit card information; and/or other activities covered by the CSU policy on sensitive positions. Please also note background checks and fingerprinting may be required, and funds may need to be budgeted to cover these costs	Required

Out of State Work	Indicate if project personnel will be paid for work (field work, etc) to be performed in state other than California. If yes, additional payroll taxes and requirements may need to be considered and your proposal development contact will work with UEI Business Services to determine what may be applicable. *Maximum 135 characters with spaces for description.*	Required
IRT Support	Indicate if your project will require support from the university department of Information Resources and Technology (IRT). If yes, please describe. *Maximum 135 characters with spaces for description.*	Required
Institutional Data	Indicate if the proposed project will require institutional data from the Office of Institutional Research, Effectiveness, and Planning (OIREP) or the Registrar. If yes, please describe the data needed and when during the project period the data will be required. It is also recommended that PIs consult with these offices at the proposal planning stage to ensure data needs and timelines can be met. *Maximum 135 characters with spaces for description.*	Required
Additional Space	Specify if additional physical university space will be needed to carry out the project. If yes, briefly detail the type of space, desired location, and estimated square footage and see Space Management for details on the request process. *Maximum 135 characters with spaces for description.*	Required
External Collaborators/ Professional Services/ Procurement Agreements	Please indicate if it is anticipated that the project will require the expertise or services of outside (non-Sacramento State or UEI) individuals or organizations. Check all that apply. • **Subawards/subcontracts**: Specify if the project will include an agreement with an outside party to perform a portion of the scope of work or project objectives. Please note that subcontracts in an amount exceeding $5,000 but under $50,000 require a signed statement describing the qualifications of the person/company hired or the objective competitive process followed in selecting the person/company. For agreements of $50,000 or more, formal competitive request for proposal (RFP) bid process or sole source justification approved by the Executive Director, or designee, is required. If the grant or contract thresholds are stricter, then they supersede these guidelines. After an award is made, your Sponsored Programs Administrator will assist with the development of the subcontract/subaward. • **Consultants/independent contractors:** Specify if the project will include an individual who will provide outside expertise on the project. Any pre-existing financial, familial or historical relationships between identified consultants and the PI must be disclosed to avoid the appearance of a conflict of interest. • **Service vendors:** Specify if an outside organization will be providing goods or services in support of the project activities. For more on bidding requirements and thresholds for subawards and consultant agreements, visit http://enterprises.csus.edu/wp-content/uploads/Purchasing.Policy.6.25.21.final_.pdf	Required

Research Integrity and Compliance Section

Field Name	Instructions	Required?
Use of Human Subjects in Research	Indicate if the project will include a research related activity involving human subjects. If yes, a protocol must be submitted to a campus Institutional Review Board (IRB). Please specify the protocol status and also note that the IRB must review and approve the protocol before research can commence. For more, visit: https://www.csus.edu/compliance/research-integrity-compliance/human-subjects-research.html.	Required
Use of Animal Subjects in Research	Indicate if the project will involve a research related activity involving living vertebrate animals, approval must be obtained from the campus Animal Care and Use Committee (IACUC) prior to the initiation of the research. Please specify if a protocol will be submitted or is pending, or if a protocol has been approved. For more, visit: https://www.csus.edu/compliance/research-integrity-compliance/animal-care-use.html.	Required
Intellectual Property	Indicate if intellectual property may be developed during the project and the types.	Required
Non-Disclosure or Confidentiality Agreements	Indicate if you anticipate the need to enter into a NDA or confidentiality agreement.	Required
Controlled or Hazardous Substances	Indicate if the project will involve controlled or hazardous substances. If yes, the PI must contact the Environmental Health and Safety office at 278-6456, and is responsible for maintaining appropriate operational procedures, controls, and personnel training as outlined in the campus Chemical Hygiene Plan. *Maximum 135 characters with spaces for description.*	Required
International Projects	Specify if the project will involve international collaborators, travel or participants. If yes, please indicate the country(ies) that will be involved. *Maximum 135 characters with spaces for description.* If international travel will be involved, complete the supplementary questions regarding travel to countries on the US Department of State's high-hazardous or excluded list, insurance requirements, and equipment, materials or software that will or may be taken out of the country. For the campus International Travel Policy, visit. https://www.csus.edu/umanual/acad%20affairs/aca-0146.html . For more on the university's foreign travel insurance program, visit https://www.csus.edu/compliance/risk-management/insurance.html Export Controls may also apply. Export controls govern how information, technologies, and commodities can be transmitted overseas to anyone, including U.S. citizens, or to foreign nationals in the U.S. For more visit: https://www.csus.edu/compliance/research-integrity-compliance/export-control.html. If a foreign national(s) will receive funds or other compensation from the project. A foreign national is any person other than a US citizen, US permanent or temporary legal resident alien, If yes, please consult with the Offices of Research, Innovation, and Economic Development as nonresident alien taxes may be applicable and additional federal	Required

	restrictions including visa restrictions may apply. Export controls may apply as well.	
Conflict of Interest Disclosure	When funding is requested (directly or via subaward) from **NSF** (all key personnel), **PHS** agency (all key personnel), or a **Non-gov't agency**, unless exempt (PI only), the appropriate disclosure form will be emailed to you and must be completed by the listed personnel *prior to submission*, per federal and state policy. For more, visit the ORIED Forms page https://www.csus.edu/experience/innovation-creativity/oried/forms.html.	Required

Campus Sharing of Indirect Costs (IDC) Recovery section

Field Name	Instructions	Required?
Campus Sharing of IDC Recovery	To assist with the quarterly distribution of recovered IDC, indicate the appropriate university division (Academic Affairs or Other which includes Student Affairs, ABA, etc.) and the type of project. If more than one co-PI or college is involved. Notate any IDC exceptions. For more on the IDC Sharing Plan, visit https://www.csus.edu/experience/innovation-creativity/oried/policies-procedures.html	Required

Notes section

Field Name	Instructions	Required?
Notes	Include notes and explanations that will be useful to signers in their review of the PAF.	Optional

Attachments/Additional Documentation

The required attachments must be uploaded in OnBase as part of Step 2 of the process map workflow and after submission of the ePAF entry form.

Attachment	Instructions	Required?
Project Summary	Upload a final or near final project abstract, summary or scope of work outline the goals and objectives of the proposed project	Required
Detailed, Line-item Budget	Upload a final or near final detailed budget outlining the proposed project costs. Budget should be developed in accordance with campus and UEI budgeting and expenditure policies, any cost sharing commitments should be outlined including what will be contributed and by whom**.**	Required
Cognos Faculty Effort Report(s)	Effort reports must be uploaded for any faculty requesting additional employment on the proposed project that have other commitments during the proposed project period.	If applicable
Other Supporting Documents	Other documentation to assist PAF signers with their review.	Optional

Required Approvals

The following approvals will be obtained via Adobe Sign once the ePAF form is completed and the appropriate attachments are uploaded (see Steps 8-13 of the process map workflow).

Approval	Certification Statement
Principal Investigator (PI)	The **Principal Investigator (PI)** meets the guidelines for serving as PI, accepts responsibility to carry out commitments as outlined in the proposal or contract within the time limits and budgetary resources provided, and agrees to comply with Sacramento State and University Enterprises, Inc. policies and procedures regarding the administration of funds. If cost sharing is required, the PI attests that approval for such resources has been secured in writing.
Co-PIs (if applicable)	**Co-PI** accepts responsibility to carry out commitments as outlined in the proposal or contract within the time limits and budgetary resources provided, and agrees to comply with University and UEI policies and procedures for the administration of funds and submission of narrative and/or technical reports. The Co-PI also attests that approval for cost sharing (if applicable) has been secured in writing.
Department Chair/Unit Director	Certifies that the proposed project is consistent with department goals and is not in conflict with assigned duties, and commits departmental resources where outlined in the proposal or contract.
Dean/Appropriate Administrator	Certifies that the proposal is consistent with the college or unit goals and commits college resources where outlined in the proposal or contract, including space requirements
Associate Vice President for Research, Innovation, and Economic Development (or designee)	Certifies that the proposal is consistent with the overall University mission and approves forwarding of the proposal or contract to the funding agency.
UEI Director of Sponsored Programs Administration (or designee)	Reviews and approves the fiscal aspects of the proposed project on behalf of UEI, and approves forwarding of the proposal or contract to the funding agency.
Vice President for Administration and Business Affairs/CFO (or designee),	As required by CSU ICSUAM policy section 11000, reviews and approves the fiscal aspects of the proposed project.