

CE-CERT Desk Procedures and Best Practices for eCAF processing

Overview and Background

PAMIS eCAF is the web-based electronic version of the Campus Approval Form. The Campus Approval Form (CAF) is a mandatory cover sheet that must be submitted with each proposal routed through the UCR Office of Research and Economic Development (RED), which is designed to enable efficient information dissemination and reliable online routing for this required form.

The Campus Approval Form contains critical information in summary form presented in a way that provides an efficient review format useful for various UCR constituents such as PIs, Co-PIs, Chairs, Deans, and Office of Research and Economic Development (RED) staff.

The Campus Approval Form is an internal UCR document that is not submitted to outside agencies. An eCAF can be initiated by either a Principal Investigator (PI) or a Contract & Grant Analyst. Whichever the case, preparing an eCAF is a joint endeavor by a PI and a Contract & Grant Analyst, both of whom have an important role in the process.

Roles and Responsibilities

Principal Investigators (PI)

Academic appointees in the following title groups are eligible to be Principal Investigator, UCR Co-Principal Investigator or UC Co-Principal Investigator, as defined in UCR's Research Policy 527-003 are eligible to serve as PI's:

1. Members of the Academic Senate, including emeriti.
2. Appointees in the Agronomist series, including emeriti.
3. Appointees at 50 percent or more of full time in the Adjunct Professor series.
4. Appointees at 50 percent or more of full time in the Clinical Professor series.
5. Appointees at 50 percent or more of full time in the Professional Research series.
6. Appointees at 50 percent or more of full time in the Cooperative Extension Specialist series.
7. Appointees at 50 percent or more of full time in the Cooperative Extension Advisor series.

Anyone who wishes to serve as Principal Investigator, UCR Co-Principal Investigator, UC Co-Principal Investigator or Non-UCR Co-Principal Investigator, as defined in UCR Research Policy 527-003, but does not meet the eligibility criteria described above and set forth in Policy 527-003, should submit a "Request for Exception to Policy Regarding PI Eligibility" form to the Research and Economic Development Office via the Enterprise Access Control System (EACS). Examples of individuals who would need to submit a request for exception include:

- Academics with visiting appointments
- Academics with non-tenure track appointments at 49 percent or less of full time
- Students, postdoctoral fellows, and postdoctoral trainees

SAs are responsible for assigning the PI role in eCAF to Principal Investigators and UCR Co-Principal Investigators. The SAA eCAF User Guide describes how to assign this role to eligible PIs and how to request an exception for Sponsored Programs Administration will not withhold a proposal for submission pending a decision regarding a request for exception to PI eligibility. Once a proposal has been reviewed and institutional issues other than PI eligibility have been addressed, Sponsored Programs Administration will submit the proposal or sign the proposal and return it to the PI or department for submission. However, this is done with the understanding that should the request

for PI exception not be approved by the Vice Chancellor for Research, the proposal will be amended to reflect a new PI or UCR will withdraw the proposal from consideration.

Contracts and Grants Analyst/Principal Investigators (PI)

Initiating the eCAF

1. Log in to eCAF by clicking on the link provided in R'Space called Proposal and Award Management Information System (Pamis). Enter your Username (your UCR NetID) and your associated password.
2. Click on the Main Menu selection, eCAFs, Create Campus Approval Form.
3. Select Proposal Type, Select fund, and designated PI for submission and then "Create". If proposals are received by the Research and Economic Development in accordance with the following lead times noted in UCR policy, the Research and Economic Development guarantees that it will complete all required reviews and approvals, and proposals will be submitted (or will be made available for submission) in time to meet a sponsor's due date (Definition).
 - a. Standard Proposal - three (3) full business days prior to the sponsor due date.
 - b. Non-standard Proposal - seven (7) full business days prior to the sponsor due date.
4. Each eCAF will create a unique number, an e-mail message will be sent containing this number.
5. Fill out the all items that are requested under the PI Information tab ex: activity code, and % effort of time for the academic year the PI, CO-PI(s), and if there are subcontractors or consultants fill in required information for them as well. Once the tab is complete select "save" and continue on to the following tabs. Anything in RED under all tabs are required to be completed prior to proceeding on to the following tabs. Note: When the Contract & Grant Analyst finishes his or her input (or review, if the eCAF was submitted by a PI) the eCAF will be routed to the PI for final review, approval, and input of required certifications on the PI Research Integrity tab.
6. If everything is correct, move to the budget information tab complete the budget information section and upload a prepared budget to the eCAF.
7. If the proposal requires cost share then the Cost share tab will need to be fulfilled. Cost Sharing: Any portion of project or program costs not borne by the sponsor. Cost sharing may be mandated by the sponsor (e.g., for an instrumentation grant, the sponsor may require UCR to contribute 25% of the acquisition costs), or voluntarily committed (i.e., cost sharing offered in the absence of a sponsor's written requirement to cost share). Please note that any cost sharing commitment contained anywhere in a proposal becomes a legally binding commitment upon UCR if the proposal is awarded; thus necessitating that the cost sharing be tracked, documented and reported to the sponsor.
8. A cost share letter must be uploaded to the eCAF from whomever is committing to the cost share as proof and for records that they will commit if awarded.
9. Select the "Comments" tab if you want to enter remarks. Comments are optional unless "Return to Department C&G Analyst," is selected, at which point comments become mandatory.
10. Select the "Attachments" tab to review already-attached documents or to add an attachment to the eCAF.
11. Select the option in the top right-hand corner of the eCAF screen to approve and submit the eCAF to your Chair. (If your proposal has Co-PIs, you will not have the option to submit it to your Chair, but rather your option will be to approve and submit it to your Co-PI(s)). The Co-PIs are responsible for providing the same certifications and assurances as the PI. When the last Co-PI finishes, the eCAF will be submitted to the Chair(s) or Director(s).
12. The Chair or research unit Director, approves and submits to the Office of Research and Economic Development (RED) for final approval before the proposal's submission to the appropriate agency.
13. If the proposal requires a Dean's approval, the eCAF will be routed to him/her after the last Chair(s) or Director(s) have approved it.
12. At any time the PI or Coordinator can log into the eCAF system and click on the "Approval Status" tab to determine a specific approval form's location in the routing conduit.

Note: When the Contract & Grant Analyst finishes his or her input (or review, if the eCAF was submitted by a PI) the eCAF will be routed to the PI for final review, approval, and input of required certifications on the PI Research Integrity tab.

When does an eCAF require Dean Approval?

1. Cost Sharing of type "Dean Contribution"
2. F&A Requests for a NEW exception
3. Requirement for additional space to conduct the project
4. Requirement for alteration/renovation of facilities to conduct the project
5. eCAFs submitted through schools without Chairs
6. eCAFs submitted with the Chair as the PI
7. PI is dean

FAQs

When a non-UCR Co-PI is part of my proposal, what should I do to satisfy UCR's PI eligibility requirements?

- a completed PI eligibility request form (which you can download from the OR Forms page), and a biosketch
These two documents should be scanned and attached as a single file with a clear and descriptive file name.

As a C&G Analyst, can I delete attachments?

- Users do have the ability to delete attachments when an eCAF is in their queue. A check box is available on the right side of the screen for each attached document. To delete the document, check the check box and select save. Once the eCAF has left a user's queue, they can no longer delete attachments, but they can add attachments. If the eCAF is routed back to a C&G Analyst, the C&G Analyst will be able to delete attached documents.

I anticipate last minute changes to my proposal title and budget, but I don't want this to delay my submission and miss the agency's deadline. How can this be accommodated in eCAF?

- Once an eCAF reaches RED, it can be either: 1) returned to the C&G Analyst who can make the changes and resubmit it to OR without rerouting; or 2) the Contract & Grant Officer can change the Project Title, and any budget fields in eCAF. RED's preference is for option 1.

I work in a unit with PIs who have multiple appointments, and I want to prepare an eCAF for one of them, but the department he should be affiliated with for this particular submission is not available. How do I proceed?

- Contact the Systems Access Administrator (SAA) for the missing department, and ask that s/he add the PI with the role of PI in PAMIS eCAF. After that is done, log in again (or refresh your screen) and you will now be able to select the correct department associated with the PI.

I am resubmitting a NIH grant, but there is no option to choose Resubmission as an eCAF Proposal Type -- only New, Continuation, Renewal, and Supplement. How do I handle this resubmission?

- There is no Resubmission (or Revision) option because eCAF feeds COEUS, which feeds the UC Corporate C&G database, which sends data to the NSF for national trend analyses. Because these types are not recognized nationally, we do not use them. Rather, submission of revised proposals is (in most cases) considered a New proposal type, as the original proposal was not funded.