General System Application Submission Instructions (Supplement Awards)

The following are general system instructions for:
- **Cornelius Hopper Diversity Award Supplement**
- **Student Research Supplement Award**

This document provides an overview of the application process using the online system SmartSimple: https://ucop.smartsimple.com.

Application instructions and templates for other award mechanisms are provided separately. Requirements may differ. Please use the appropriate templates and instructions for your specific award type.

Please consult with your local C&G office for campus submission requirements, and allow enough time to meet submission deadlines. **Note: New to the 2019 cycle, signatures will be collected electronically. You will submit the application electronically to your signing official who must review and submit the application through SmartSimple by the application deadline. Please plan submission timelines accordingly.**

Part A. Online Proposal Submission

The proposal must be submitted using the online system SmartSimple, which can be accessed at https://ucop.smartsimple.com. **The application submission must be completed (not merely initiated) by the 12:00 noon Pacific Time deadline by using the online system SmartSimple.** Please note that SmartSimple displays all timestamps and deadlines in military time in the Pacific Time Zone. Watches and clocks on computers and office telephones are often not correct. Please plan ahead in preparing your submission, and allow a minimum of one hour to receive confirmation of your successful submission by the deadline.

For technical assistance with SmartSimple, contact the Research Grants Program Office (RGPO) at RGPOGrants@ucop.edu or (510) 987-9386.

Part B. Overview of Proposal Submission Process

The following provides an overview of the application process. Detailed instructions are available in Part C of this document.

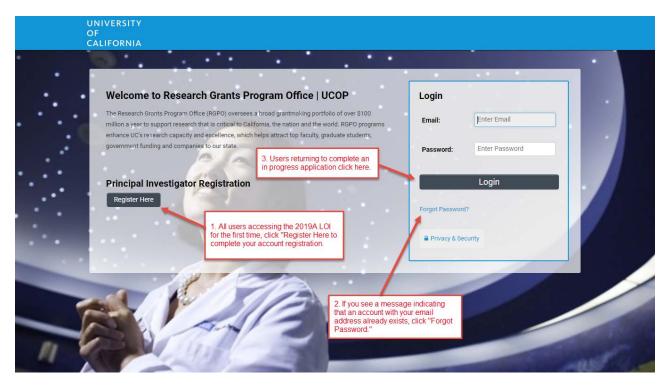**Step 1: Accessing SmartSimple: https://ucop.smartsimple.com/**

The applicant must be the Principal Investigator (applicant) of the proposal and must access SmartSimple to initiate the application process.

All Users Accessing the 2019A Application for the First Time:
1. When accessing the 2019A application for the first time, all users should click the **"Register Here"** button under **"Principal Investigator Registration"** and follow the instructions to enter your institution, name, and contact information.
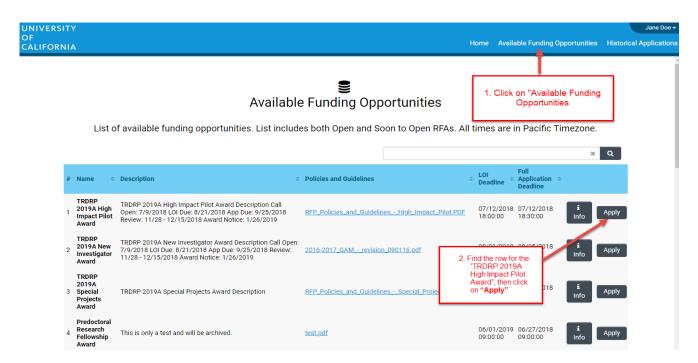
2. If you cannot find your institution, click **"Search the IRS database"** link. If your institution is listed in the IRS database, click the **"Select"** button (right arrow) to add it to the system and continue to #4. If it is not listed, please contact RGPOgrants@ucop.edu to have your institution added to the system.

3. If you need to change the institution that your account is associated with, please email RGPOgrants@ucop.edu.

4. A user account will be created for you. You will receive an email with instructions to create a password and complete your account profile. Once you have completed this step, skip to Step 2: Application Preparation.

5. If you see a pop-up message indicating that an account with your email address already exists, return to the main login page (https://ucop.smartsimple.com), and click the **"Forgot Password"** link. You will receive an email with a link and instructions to reset your password. **If you do not receive the password reset email within one hour, please contact RGPO at RGPOgrants@ucop.edu or 510-987-9386. Make sure to check your spam or junk folder.**

Returning Users: Applicants who have previously registered with SmartSimple and are returning to complete an in progress application should enter their username and password under **"Login"** and click the "**Login"** button on the SmartSimple homepage.
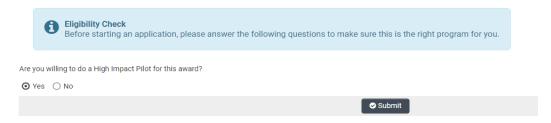
Step 2: Application Preparation and Submission

1. Once logged into the system, click on "**Available Funding Opportunities**" (upper right corner).
2. Find the row for the award type you are interested in, then click **"Apply."**
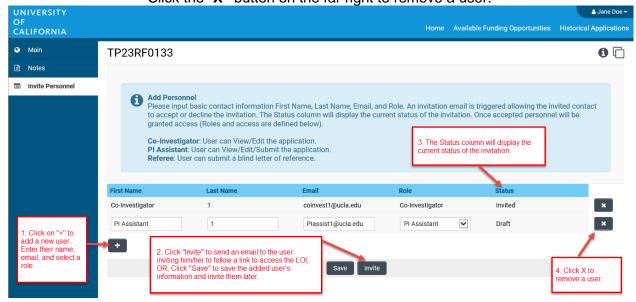

3. Complete the Eligibility Check and click **"Submit."**
   - The Eligibility Check contains a series of questions and statements regarding applicant eligibility. You must provide an answer to acknowledge that you meet all eligibility criteria mentioned. Upon submitting a "Yes**"** response, you will be able to start the application process. If your answer is "No," you are not eligible to apply.

4. Review the Helpful Tips, and click **"Continue"** to begin your application.

5. Once in the application interface, you will see three options on the left sidebar: Main, Notes, and Invite Personnel.

    - **Main:** Click this tab to access each section of the application. Detailed instructions for each section are provided in Part C.
    - **Notes:** Click this tab to create Notes for your application. Click **"+"** to add a new Note. Any Notes stored here are for the applicant's reference only and will not be reviewed by RGPO staff. Please make sure to include all relevant project information in the application sections under the Main tab.
    - **Invite Personnel:** This section enables you to provide access to anyone whom you wish to participate in your application preparation or submission. This section is optional; please skip this section if you do not need to enable access to others.
        1. To add a new user, click **"+"** and enter their name and email, and select a role.
            - **Co-Investigator:** User can View/Edit the application.
            - **PI Assistant:** User can View/Edit/Submit the application.
            - **Referee:** User can submit a blind letter of reference for specific application types.
        2. Once you have added a user, click **"Save"** to save the user's information, and/or click **"Invite"** to send an invitation email to the user. The invitee will receive an email invitation from the system with instructions to access the application.
        3. Add additional users by clicking **"+"** and entering their information, repeating for all users. Once you have added all desired users, click **"Save"** to save the information in batch, or **"Invite"** to invite all users in batch. The Status column will display the current status of the invitation. Click the "**X**" button on the far right to remove a user.

6. In the "**Main**" tab, complete each section of the application and submit by the deadline. Please see below for detailed descriptions of each section. Note: Be sure to save your work often by clicking **"Save Draft."** You can access your application in later visits for additional work by selecting **"Open"** under **"In Progress Applications"** on the Home screen.

7. Complete each section of the application and submit by the deadline. Please see below for detailed descriptions of each section. At any time, you may save your work and access the application in later visits by clicking **"Open"** under **"In Progress Applications"** on the Home screen.

STEP 3: Preparation of proposal and required templates. The application consists of two types of forms: 1) the data forms to be completed online directly in the SmartSimple interface, and 2) the application templates to be downloaded from SmartSimple, then completed and uploaded to SmartSimple. Please see Part C of this document for detailed information regarding application sections and components.

We recommend that you first download all instructions and templates, complete the online data forms, complete all necessary templates and upload all required files, then proceed to finish the proposal submission process.

STEP 4: Electronic Submission to Signing Official. Once all of the online data forms are completed and all of the required proposal templates and documents are completed and uploaded, the proposal is ready for electronic submission to your institution's signing official. Click the **"Submit to Signing Official"** button. This will generate an email notification to your signing official to log in, review the application, and submit or send back to you for further revision. **Note: The signing official must submit the application prior to the application deadline. Please plan submission timelines accordingly.**

After the proposal is submitted by the signing official, an automatic email confirming the electronic submission of the proposal will be sent to the applicant and the signing official.

You may generate a PDF copy of the full proposal at any time by clicking the "**Preview**" button that appears at the top of each section of the application.

Part C: Detailed Description of Each Application Section
Instructions for how to complete all forms are below. *We recommend that you first download and complete the templates from the Documentation section, then proceed to complete the online data forms.*
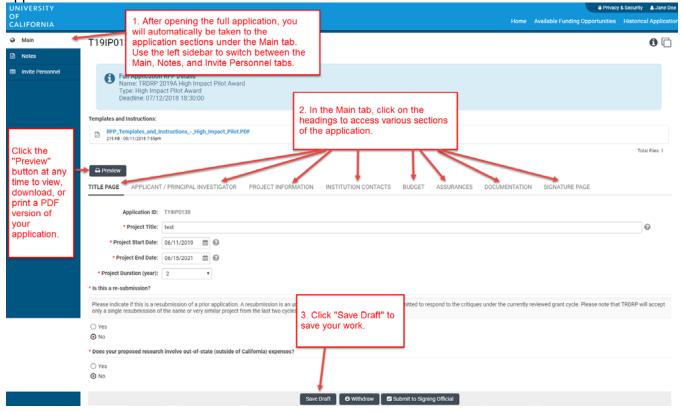
Complete the online data forms in SmartSimple as described below. Please be sure to **save your work after each entry**. To avoid loss of data, we recommend that you save your work every 10 to 15 minutes. For security reasons, if your session is idle (i.e. if you don't press **"Save"** or click on a link to move to another page) for an extended period of time, you will be automatically logged off and any unsaved data will be lost.

The following instructions correspond to the sequence of Proposal Sections that appear horizontally from left to right in the application in SmartSimple. The application sections: **Title Page, Applicant/Principal Investigator, Project Information, Institution Contacts, Budget, Documentation, and Signature Page,** can be completed in any order and in any number of sessions prior to the deadline. You can move between sections by clicking directly on the section headings. Required fields are denoted with a red asterisk (*). Please be sure to save your work after each entry.

Note about record being locked: The application can be accessed by one user at a time. If you are

unable to edit your application, it is likely in use by another user. A message will appear at the bottom of the screen indicating that the application is currently locked. You will not be able to access the application until the first user closes their session.

Application Section 1: Title Page

- **Project Title:** Please enter the project title here (100 characters or fewer including spaces). No special characters are allowed.
- **Parent Application Information:** Please provide the parent application number and project title. That is – the application number and title of the High Impact Research Project, the High Impact Pilot Award, or the New Investigator Award that you are applying in the same cycle for which the supplement will apply.
- **Project Start Date:** Please enter the project start date here.
- **Project End Date:** Please enter the project end date here.
- **Project Duration (Year):** Using the drop-down menu, specify the number of years for which the project will occur.
- **Application History:** Select Yes or No to specify if this application is a Resubmission. If you applied to this award in the last two TRDRP grant cycles (2018A or 2018B) and are resubmitting a revised application, please select Yes. All other applications are considered new applications.
    Note: If this application has the same specific aims as an unfunded application you submitted in the last two TRDRP grant cycles (2018A or 2018B), please answer Yes. All other applications are considered new applications.
    If Yes: Enter original application number and original application project title.
- **Out-of-State:** Please indicate (Yes/No) if your proposed research involves Out-of-State (Outside of California) expenses. Please note TRDRP does not encourage Out-of-State expenses and you must include justification to such expenses on the *Out-of-State Expenses & Facilities* form. Refer to the Proposal Form Uploads Requirements section (Appendix A).

Application Section 2: Applicant/Principal Investigator

Applicant/Principal Investigator information will be auto-populated from the "My Profile" section of your SmartSimple account. Please review this information for accuracy. To make changes to this information, click on your name in the upper right corner of the page, and select **"My Profile."** Update your information and save your changes. Return to the full application by selecting **"Open"** under **"In Progress Applications"** on the Home screen. You can also go directly to the "My Profile" page in your account to make changes at any time.

- Please note that not all information on the Applicant/PI profile is required.
- ORCID: The Applicant/PI ORCID is optional and not required for the TRDRP Cycle 2019A, but it will become required in future funding cycles. If the ORCID for the Applicant/PI is not available, consider register for one at orcid.org.

Application Section 3: Project Information

- **Tobacco-relatedness:** Indicate (Yes/No) whether your project is focused on tobacco-related research. If Yes, describe how your project is advancing tobacco-related science, practice, or public policy for California. See page 2 in the 2019 call for applications under "Tobacco-related disease remains a research priority" for relevant eligibility criteria. Your response should be no more than 1,000 characters in length.
- **Keywords:** Please provide a **minimum of three and up to five** keywords that best reflect your research to optimize peer review selection in the each of the keywords textboxes provided. (Each set of keyword(s) should be 25 characters or less)
- **TRDRP Research Priority:** All applications must address one or more of the program's eight research priorities. Select **up to three** of TRDRP's Research Priorities that best fit your research using the multi-select list:
    1. *Social and behavioral prevention and treatment*
    2. *Cancer prevention, treatment and biology*
    3. *Cardiovascular and cerebrovascular diseases*

4. *Environmental exposure and toxicology*
5. *Neuroscience of nicotine addiction and treatment*
6. *Oral diseases and dental health*
7. *Pulmonary biology and lung diseases*
8. *State and local tobacco control policy research*

A full description of TRDRP's research priorities, including examples of areas in which research is needed, is provided in the [2019 Call for Applications](#).

- **CSO Research Type(s) and Sub-Type(s):** Please select the CSO Types and corresponding Sub-Type(s) that best represent your project.

Application Section 4: Institution Contacts

- **Institution Contacts:** Three contact types are required for every application:

    1. **Signing Official:** This should identify the individual who is authorized to act for the Applicant Organization, and who will assume the obligations imposed by the requirements and conditions for any grant, including the applicable TRDRP regulations.
        - When all online forms and downloaded templates have been completed and uploaded to SmartSimple, the application will be ready to be electronically submitted to your institution's signing official.
        - **Your institution's signing official will receive an email notification to log in, review, and electronically submit the application. Note: The signing official must complete this step prior to the application deadline. Please plan submission timelines accordingly.**

    2. **Contracts and Grants Official:** This should identify the individual in the Applicant Organization's Contracts and Grants Office, or comparable unit, who will administer the grant for the institution should an award be made, and who will serve as the liaison to TRDRP on official grant administrative issues.

    3. **Fiscal Contact:** This should identify the individual at the Applicant Organization who will serve as the authorized fiscal officer to TRDRP for official grant accounting issues.
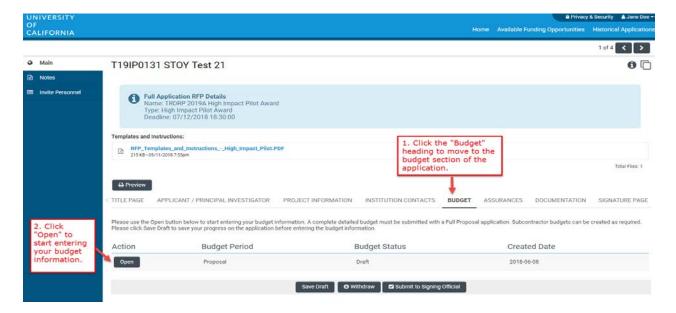
    To add these individuals as contacts of your application, start typing the official's name in the appropriate field and select a contact that populates. If you cannot find the contact name in the populated list, answer the question "Can't find the contact you're looking for?" If applicable, click the radio button next to **"Can't find Signing Official."** Then click **"Add Signing Official."** A pop-up window will open where you can enter the signing official's full name and email. Repeat this process to add a Fiscal Contact and Contracts and Grants Contact as necessary. **Do not use generic emails such as ContractsandGrants@myinstitution.edu.**

- **Project Personnel:** Click **"Enter Project Personnel."** A separate window will open. Using the **"+"** button, enter the names and details of all project personnel. Add rows until you have added all project personnel. Click **"Save"** to save your changes. Click **"Close"** to return to the full application. Please see Appendix C for Project Personnel definitions and guidelines. You **MUST** add all project personnel as specified in Appendix B.

- **Letters of Reference (Blind):** Letters of References are not required for supplements.
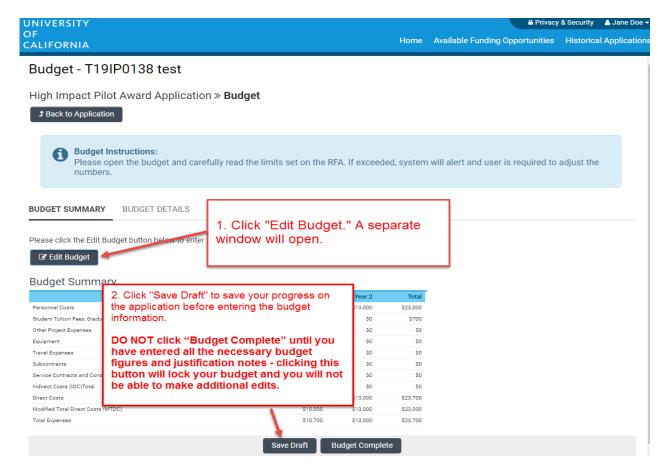
Application Section 5: Budget
Do not click "Budget Complete" until you have entered all the necessary budget figures and justification notes – clicking this button will lock your budget and you will not be able to make additional edits.   Do not click "Budget Complete" until you are ready to submit your application to your signing official.
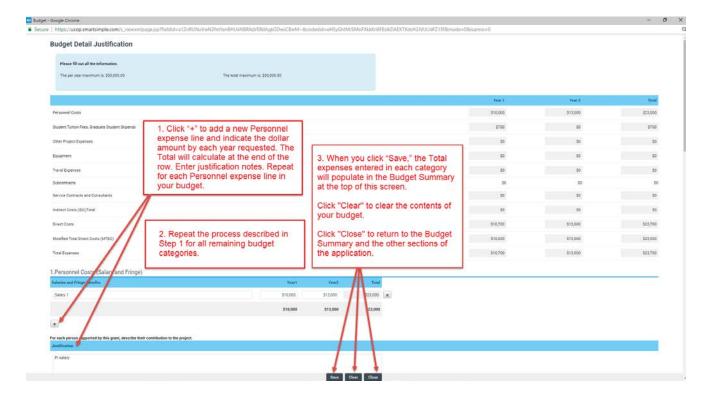
1. To complete your application budget, please go to the "Budget" tab.
2. Use the **"Open"** button to start entering your budget information. A complete detailed budget must be submitted with a full application. Subcontractor budgets can be created as required. Please click **"Save Draft"** to save your progress on the application before entering the budget information. Refer to Appendix C for Cost and Expense Guidelines.

- Under the Budget Summary heading, click **"Edit Budget."** A separate window will open.

- Scroll down to **1. Personnel Costs (Salary and Fringe)**. Click **"+"** to add a new Personnel expense and indicate the dollar amount by each year requested. The Total will calculate at the end of the row. Enter justification notes. When you click **"Save,"** the expense will populate in the Budget Summary at the top of this screen. Repeat this step for each Personnel expense in your budget.

- Repeat this process for each of the remaining budget categories.
  - **Student Tuition Fees, Graduate Student Stipends**
  - **Other Project Expenses**
  - **Equipment**
  - **Travel Expenses**
  - **Service Contracts and Consultants**
  - **Indirect Costs/Facility Administrative (FA) Costs**
    - Please note you must manually calculate and enter the Indirect Costs based on your Modified Total Direct Costs (MTDC). Refer to Appendix D for details on indirect costs.
- **Institution Allowance (for predoctoral and postdoctoral fellowship awards only):**
  - Please break down the institution allowance by budget category and enter expenses associated with each budget category type in their relevant row(s). Do not lump institution allowance into a single line item.
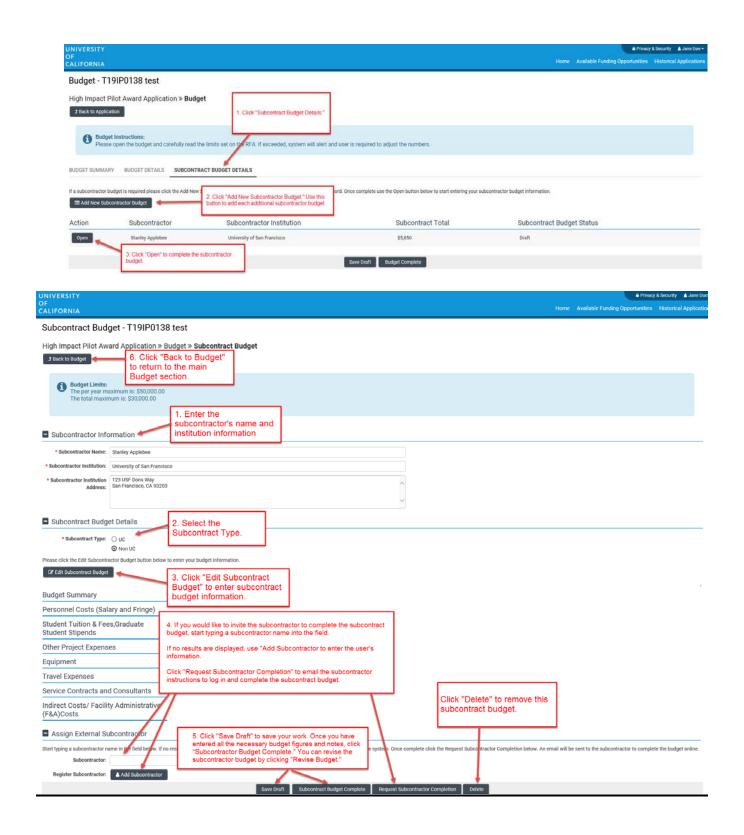
- **Budget Justification:**
  - A textbox is available under each budget category to provide the budget justification relevant to that particular category. There is no character limit on the budget justification, though the expectation is that the justification is concise.
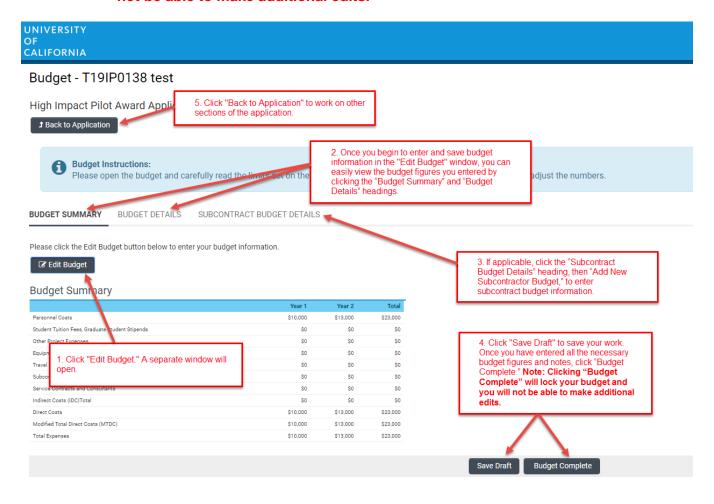- **Subcontractor Budget(s):**
  - A separate budget must be provided per subcontract. If applicable, click the **"Subcontract Budget Details"** heading, then **"Add New Subcontractor Budget,"** then **"Open"** to enter subcontract budget information.
  - Enter the subcontractor's name and institution information. Click **"Edit Subcontract Budget"** to complete the subcontract budget using the same instructions you used to complete the application's project budget (listed above).
  - If you would like to invite the subcontractor to complete the subcontract budget, scroll to "Assign External Subcontractor" and start typing a subcontractor name into the Subcontractor field. If no results are displayed, click **"Add Subcontractor"** to enter the user's information. Click **"Request Subcontractor Completion"** to email the subcontractor instructions to log in and complete the subcontract budget.
  - Once you have entered all the necessary budget figures and notes, click **"Subcontractor Budget Complete."** You can revise the subcontractor budget by clicking **"Revise Budget."**
  - Click **"Back to Budget"** to return the application's project budget.

- **Overall Budget Completion:**
  - When you have finished filling out your entire budget, click **"Save,"** then **"Close."**
  - You can easily view the budget figures you entered by clicking the "**Budget Summary**" and "**Budget Details**" headings. You can click **"Edit Budget"** to make updates or changes to these budget sections.
  - If you would like to work on other sections of the application and return to the Budget later, click **"Save Draft,"** then **"Back to Application."**
  - Once you have entered all the necessary budget figures and notes, click **"Budget Complete." Note: Clicking "Budget Complete" will lock your budget and you will not be able to make additional edits.**

Application Section 6: Documentation: Proposal Templates

Proposal Templates are Word or Excel documents available for download in this section. To complete the templates, download them, save them and enter the requested information. Once complete, convert the templates to PDF, then upload the PDF files and spreadsheets (when appropriate) to the proposal using the upload button under the appropriate document heading.

Refer to Appendix A for a list of documentations/templates and their requirements by funding award type. Additional instructions and guidance are located on top of each template.
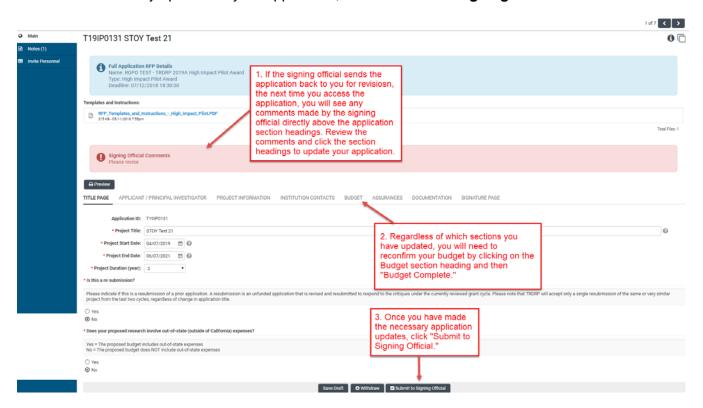
Note: Please make sure that your uploaded PDFs are not password protected and do not contain electronic signatures.

Application Section 7: Signature Page

Once all online and downloaded templates have been completed and uploaded to SmartSimple, the application is ready to be submitted to your institution's signing official. You must click **"Submit to Signing Official"** to complete this step.

Your institution's signing official will receive an email notification to log in, review, and either submit the application, or send the application back to the Applicant PI for revision. **Note: The signing official must complete this step prior to the application deadline. Please plan submission timelines accordingly.**

- If the signing official's submission was successful, a confirmation message will appear on the screen and a confirmation email will be sent to the Applicant PI. The email confirmation typically arrives within a few minutes (the length of time may be greater near the submission deadline). If you do not receive the SmartSimple confirmation email within an hour of your submission, please contact RGPOgrants@ucop.edu. You can also confirm the status of your application submission by going to the Home screen, and clicking on **"Submitted/Under Review Applications."**
- If the signing official sends the application back to you for further revision, you will receive an email notification. When you next log in and open your application, you will see any comments made by the signing official at the top of the application interface. Update the application as needed. **Note:** Regardless of which sections you have updated, you will need to reconfirm your budget by clicking on the Budget section and then **"Budget Complete."** Once you have made the necessary updates to your application, click **"Submit to Signing Official."**

Appendix A: TRDRP Cycle 2019 Proposal Form Upload Requirements

Form Name & Template Availability	Notes & Page Limits	Cornelius Hopper Diversity Award Supplement (CHDAS)	Student Research Supplement Award (UT)
Training Plan - Word template provided	- Page Limit: 3 - To be completed by the Applicant Principal Investigator. - Upload single PDF.	Required	Required
Biosketch (Trainee) - Use biographical sketch template provided - Required for the trainee	- Biosketch is limited to 5 pages and is required for the trainee.	Required	Required
Out of State Expenses & Facilities - Word template provided	- Page limit: 2	Required	Required

Appendix B: Project Personnel Roles – Definitions, Guidelines, and Biosketch Requirements

- **Applicant Principal Investigator:** The Principal Investigator (PI) serves as the proposal applicant, and is the recipient of the award. He/she serves as the project's main research and administrative contact, and is responsible for providing progress, fiscal and other reports to the Program office. See the call applications for eligibility requirements.
  - o Note: there is only one applicant who serves at the PI; there is no such role as Co-Principal Investigator or Co-PI.
  - o A **Biographical Sketch** must be provided for the Applicant Principal Investigator.
  - o University of California Investigators who <u>do not</u> have PI status at the University must submit evidence of a waiver of UC PI status in the Appendix. This does not apply to fellowships.

- **Co-Investigator(s):** Co-investigators (Co-Is) are defined as individuals with independent responsibility for the design, conduct and reporting of research, whether or not their salaries are included in the Budget request. Typically, these individuals have doctoral or other professional degrees, although individuals with master's or baccalaureate degrees should be included if their involvement meets the definition of co-investigator.
  - o A **Biographical Sketch** must be provided for each co-investigator listed.
  - o A Co-Investigator as part of a subcontract from a University of California campus must have UC PI status.
    - ▪ University of California Investigators who <u>do not</u> have PI status at the University must submit evidence of a waiver of UC PI status in the Appendix.

- **Trainee(s)** are defined as undergraduate students, graduate students, and most post-doctoral researchers who do not meet the definition of Principal Investigator or Co-Investigator. Use "TBN-1, TBN-2…" for trainees or staff to be hired at a later date.
  - o Do not provide Biographical Sketch for trainees.

- **Dissertation Advisor(s)** are senior investigator(s) responsible for guiding the applicant's dissertation research. This role serves as the mentor for the pre-doctoral fellowship applicant.
  - o Pre-Doctoral Fellowship requires at least one dissertation advisor, and may have limited or no other project personnel involved.
  - o The dissertation advisor must provide a blinded letter of recommendation through the **Letters of Recommendation** section on proposalCENTRAL. Refer to the application instructions for additional details.
  - o A **Biographical Sketch** must be provided for the dissertation advisor.
  - o A percentage % effort is not required from the dissertation advisor.

- **Research Advisor(s)** are senior investigator(s) responsible for guiding your postdoctoral research. This role serves as the mentor for the post-doctoral fellowship applicant.
  - o Post-Doctoral Fellowship requires at least one research advisor, and may have limited other personnel involved.
  - o The research advisor must provide a blinded letter of recommendation through the **Letters of Recommendation** section on proposalCENTRAL. Refer to the application instructions for additional details.
  - o A **Biographical Sketch** must be provided for the research advisor.
  - o A percentage % effort is not required from the research advisor.

- **Collaborator(s)** are project participants who are intellectually engaged in the research, yet are not the Principal Investigator or Co-Investigators, and are not members of the investigator's research or technical support staff.

- o A letter of commitment to participate from each collaborator must be included in the <u>Appendix</u>.
  - o A **<u>Biographical Sketch</u>** must be provided for each collaborator listed.

- **Consultant(s)** are project participants who provide a well-defined and restricted service. Provide the names and organizational affiliations of all consultants, other than those involved in consortium/contractual arrangements. Include consultant physicians in connection with patient care and persons who serve on external monitoring boards or advisory committees to the project. Payment of a consultant's services, exclusive of expenses, may not exceed the consultant's normal rate or the daily maximum rate established by the University, whichever is less.
  - o All consultant costs must be justified in the **<u>Budget Justification</u>**. It is expected that consultant services will be limited to those essential services that are unavailable at the prime institution, and that the costs will not constitute a significant portion of the proposal budget (generally 10-15% of direct costs or less).
  - o A **<u>biographical sketch</u>** may be included only if the consultant serves in a senior research capacity.

- **Research Support Staff** are individuals providing technical services in support of the research project. Include only those roles that are directly involved in the research project. Administrative, secretarial, or other general departmental or center support staff are not considered to be directly involved in the research and should **not** be listed as research support staff.
  - o Do not provide biographical sketch for research support staff.

- **Administrative Support Staff** are individuals providing administrative, secretarial, or other general departmental or center support. Administrative support staff may be included in the proposed budget per OMB Circular A21 guidelines.
  - o Do not provide biographical sketch for administrative support staff.

Appendix C: Cost and Expense Guidelines

Personnel
- The Budget Summary line item for Personnel should reflect the total cost of all individuals identified as supported by the grant and their level of effort. In the personnel section of the application, be sure to name all individuals to be supported by the grant and provide their percent effort (months devoted to the project). All paid individuals must also be listed on the budget.

- Follow the NIH Guidelines and Calculation scheme for determining Months Devoted to Project, available at the links below:
  - NIH Guidelines:
  - http://grants.nih.gov/grants/policy/person_months_faqs.htm
  - NIH Calculation Scheme: http://grants.nih.gov/grants/policy/person_months_conversion_chart.xls

- When computing salary for key personnel, use only the base salary at the applicant organization, excluding any supplementary income (e.g., clinical or consulting incomes). TRDRP does not enforce a salary cap, as long as the overall budget adheres to the costs & expenses guidelines and the amount requested stays within the allowable costs.

- Graduate students may be paid as personnel on Non-Fellowship awards and may also receive tuition remission. Tuition remission in this circumstance, however, will be considered compensation. The total compensation (salary plus fringe benefits plus tuition listed under "Personnel") may not exceed $30,000 per project year (total for all students). A maximum of $10,000 per year is allowed for the combined costs of tuition/enrollment fee remission, fringe benefits, and health insurance. On non-fellowship mechanisms, there is no provision for institutional allowance.

2) Consultant and Contractual
- Detailed contractual budgets must be included as a subcontractor budget in the database, and letters of collaboration from each subcontract must be included in the Appendix. A subcontract is not allowed to have another subcontract.

3) Supplies & Expenses
- Include expected costs for supplies and other research expenses not itemized elsewhere.

- Pooled expenses may be allowed as a direct cost at the discretion of the Program only if: 1) the project will be directly supported by the pooled expenses, 2) the pooled expenses have been specifically excluded from the indirect cost rate negotiation, and 3) the pooled expenses have been allocated consistently over time within the organization. Please explain any requested pooled expense requests in the Budget Justification.

4) Equipment (Unit Cost over $5,000)
- Not allowed for Cornelius Hopper or Student Research Supplement Awards. For all other Awards, each requested equipment item must be >$5,000 and explain in budget justification.

5) Travel
- **Travel – RGPO Meeting:** TRDRP may organize an event requiring your travel to the Oakland area within the funded grant period. Funds up to $750 should be set aside for attending the Research Grants Program Office (RGPO) Meeting during the first year of the grant. This in NOT APPLICABLE to the Dissemination Awards. All other applicants, including fellowship

applicants, should budget a one-time $750 expense under year 1 in a travel budget line labeled: "Travel - RGPO Meeting".

- **Travel - Project Related:** Project-related travel expenses are allowable only for travel directly related to the execution of the proposed research activities. Label such expenses as "Travel – Project Related." These expenses must be fully justified in the budget justification.
- **Travel - Scientific Meetings:** Scientific conference travel is limited to $2,000 per year (excluding a mandatory allocation of $750 in one year of the project for travel to the TRDRP Conference under Travel - RGPO Meeting). The same limit applies to Fellowship recipients. Label such expenses as "Travel-Scientific Meetings" and explain in budget justification.

6) INDIRECT (F&A) COSTS

- **Indirect cost policy:** Indirect costs are NOT allowed for Postdoctoral Fellowship Awards, Predoctoral Fellowship Awards, Student Research Supplement Awards, Cornelius Hopper Diversity Award Supplements, Dissemination Projects, or Scientific Conference Awards. For other awards, Non-UC institutions are entitled to full F&A of the Modified Total Direct Cost base (MTDC); UC institutional F&A is capped at 25% MTDC.
- **Modified Total Direct Costs (MTDC)** include salaries and wages, fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract) to an outside institution. MTDC does not include (indirect costs are not allowed on): capital expenditures, charges for patient care, scholarships and fellowships (including postdoctoral stipends), tuition remission and graduate student stipends, rental costs of space, equipment purchases more than $5,000 per item, the portion of each sub grant and subcontract in excess of the first $25,000, and the total cost of any subcontract from one UC to another UC campus. On a non-fellowship award, you may apply indirect costs to graduate student salary (under salary only, not as stipend) but not to tuition & fees.
- For all eligible projects that allow grantees to recover the full amount of their federally negotiated indirect cost rate agreement, grantees must also accept the full federally recognized F&A rate for all award subcontractors (except for subcontracts to another UC institution, where F&A is not allowed). If a grantee or subcontractor does not have a federally negotiated F&A rate at the time of the proposal submission, the grantee and/or subcontractor may estimate what the federally negotiated rate will be at the time of award and include this rate in the proposed budget, or may request a "De Minimis" F&A rate of 10% MTDC. A higher indirect rate that has been accepted for state or local government contract or other California grantmaker contract may be approved at the discretion of the Program Director and the Research Grants Program Office Executive Director.
- **INDIRECT COSTS ON SUBCONTRACTS**
  - The award recipient institution will pay indirect costs to the subcontractor.
  - For non-UC subcontracted partners, TRDRP will allow full F&A of the Modified Total Direct Cost (MTDC), as defined above.
  - F&A costs are not allowed for one UC institution's management of a subcontract to another UC institution.
  - The amount of the subcontracted partner's F&A costs can be added to the direct costs cap of any award type. Thus, the direct costs portion of the grant to the recipient institution may exceed the award type cap by the amount of the F&A costs to the subcontracted partner's institution.

Appendix D: Other Application-Related Policies and Pre- & Post Award Requirements

Human Material and Animal Subjects:
Approvals for use of human material and animal research subjects are not required at the time of application. Applicants are encouraged to apply to the appropriate board or committee as soon as possible in order to expedite the start of the project, and you must do so before or within 21 days of notification that an award has been offered. This deadline may be negotiable depending on the circumstances of the proposal. If all reasonable efforts are not made to obtain appropriate approvals in a timely fashion, funds may be reallocated to other potential grantees' proposed research projects. Other Requirements:

Upon request, awardees must supply the following information or documents:
1. Verification of Principal Investigator status from an appropriate institutional official.
2. Documentation of 501(c)(3) non-profit organization status for the organizations.
3. Documentation of the DHHS-negotiated (or equivalent) indirect cost rate for non-U.C. institutions.
4. Detailed budgets and justifications for any subcontract(s).
5. IRB or IACUC applications or approvals pertaining to the award.
6. Resolution of any scientific overlap issues with other grants or pending applications.
7. Resolution of any study section recommendations.

Publications Acknowledgement and Open Access:
All scientific publications and other products from a RGPO-funded research project must acknowledge the funding support from UC Office of the President, with reference to TRDRP and the assigned grant ID number.

RGPO is committed to disseminating research as widely as possible to promote the public benefit. All publications based on funding received from RGPO are subject to the University's Open Access Policy. To assist the RGPO in disseminating and archiving the articles, the grantee institution and all researchers on the grant will deposit an electronic copy of all publications in eScholarship, UC's open access repository promptly after publication. Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication.

All TRDRP grant recipients must abide by other pre- and post-award requirements pertaining to Cost Share, Indirect Cost Rates, Monitoring & Payment of Subcontracts, Conflict of Interest, Disclosure of Violations, Return of Interest, Equipment and Residual Supplies, Records Retention, Open Access, and Reporting as outlined in the Grants Administration Manual (GAM) available at the link below:

http://www.ucop.edu/research-grants-program/_files/documents/srp_forms/srp_gam.pdf

Appendix E: Technical Tips and Warnings

Applicants may encounter validation or submission errors due to two common issues.

1. **General Issues with Validation:**
   Some applicants find that the system does not validate when the process is complete. Our experience is that most often this is caused by navigation away from a page before the "save" is complete. If you navigate away from a page before the "save" is complete, the information on that page will be lost. When a page is saved, the system does not show you the progress and report that the "save" is complete. A screen refresh occurs automatically when the save is complete, and that is visible by a screen blink.

2. **Issues with Institution Profile:**
   Some applicants have difficulty finding their institution in the database. Most California research institutions and universities are in the SmartSimple database, in addition to other organizations, particularly those that have applied to TRDRP or other UC programs previously. The search function is not a "smart" search function as is common with search engines. We suggest using simple search terms to avoid inadvertently excluding your institution from the search. For example, entering "Davis" to search for the University of California, Davis, effectively locates this institution. If you have difficulty retrieving the database entry for your institution, please contact us using the information provided at the end of this document.

   If your institution does not appear to be in the SmartSimple database, please contact RGPOgrants@ucop.edu to have your institution added to the system.

CONTACT INFORMATION

For the most up-to-date application and review cycle information refer to the following website: http://www.trdrp.org/funding-opportunities/index.html

Should you have any questions regarding your LOI or application, please contact:

- The TRDRP Program Officer for your subject area regarding program content and eligibility. Contact information available at: http://www.trdrp.org/about/staff.html

- Research Grants Program Office Contracts and Grants unit at RGPOgrants@ucop.edu or by phone at 510-987-9386 regarding application instructions and forms, and pre/post-award procedures.

The Tobacco-Related Disease Research Program (TRDRP) is part of the Research Grants Program Office of the University of California, Office of the President.