**LOI and Application Submission Instructions**

**LOI Instructions – Page 1**
**Application Instructions – Page 10**
**Appendices – Page 26**

**Instructions for the Submission of a Letter of Intent**
<span style="color:red">**LOI Submission Deadline: February 7, 2019 at 12:00 p.m. Pacific Time**</span>

**Submission of an electronic Letter of Intent (LOI)** is required to apply for the following award mechanisms for cycle 2019B:

- **High Impact Pilot Research Award – resubmissions only**
- **High Impact Research Project Award – resubmissions only**
- **New Investigator Award – resubmissions only**
- **Postdoctoral Fellowship Award – new submissions and resubmissions**
- **Predoctoral Fellowship Award – new submissions and resubmissions**

**TRDRP has migrated to a new grants management system, SmartSimple. Please use the following instructions to submit an LOI for the award mechanisms listed above.**

You will have access to the full application web pages when the LOI is approved in **SmartSimple**, at which time you will receive a notification email. The LOIs will be approved or denied on a rolling basis. To be accepted for a full application, a Letter of Intent (LOI) must address one or more of TRDRP's eight research priorities as described in the 2019 Call for Applications on TRDRP's website and meet all eligibility requirements for the award type.

LOIs must be submitted in **SmartSimple** and may be submitted at any time until the deadline. There is no grace period. You will not be able to submit an LOI after the deadline. Upon submission of your LOI, you will receive an automatic confirmation of receipt. Please keep this for your records. If you do not receive an automatic confirmation notice, your LOI will not be deemed received by Research Grants Program Office (RGPO) and will not be reviewed. All applicants who have submitted the LOI in a timely manner will also receive a second email indicating the status of the LOI (approved/denied) *on a rolling basis.* If your LOI is approved, then you will be able to submit a full application in SmartSimple.

**An LOI is required for new submissions and all resubmissions.** If you have an approved LOI from cycle 2018B or 2019A, you are still required to submit an LOI during the 2019B cycle in order to submit a full proposal.

**Resubmissions and Multiple Submissions:**
Please refer to the call for applications on TRDRP's Website for policies pertaining to resubmissions and multiple submissions.

**Please review the TRDRP 2019 Call for Applications carefully before applying.**

To ensure that you submit the LOI before the deadline, review these instructions in their entirety along with the corresponding web pages as soon as possible. At the end of this document, you will find a few warnings and tips that address the most common issues experienced by applicants.

For a description of TRDRP award types, eligibility, funding caps, application review criteria and other information, see our call for applications or [TRDRP](#) website. If you have any questions, see the call for applications for appropriate contact information.

LOIs will be programmatically reviewed to verify consistency with the requirements and adherence with TRDRP research priorities. Once an LOI is approved after a brief administrative review, application materials will be readily accessible in SmartSimple to begin the application preparation.

**OVERVIEW OF ONLINE LOI SUBMISSION PROCESS**

**The LOI 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.

**Step 1: Accessing SmartSimple: [https://ucop.smartsimple.com/](https://ucop.smartsimple.com/)**

**The Applicant must be the Principal Investigator (Applicant) of the proposal and must access SmartSimple to initiate the LOI process.**

*All Users Accessing SmartSimple for the First Time:*
1. When accessing SmartSimple 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 us to have your institution added to the system. Contact information can be found at the end of this document.
3. If you need to change the institution that your account is associated with, please contact us.
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: LOI 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](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 us using the contact information at the end of this document. Make sure to check your spam or junk folder.**

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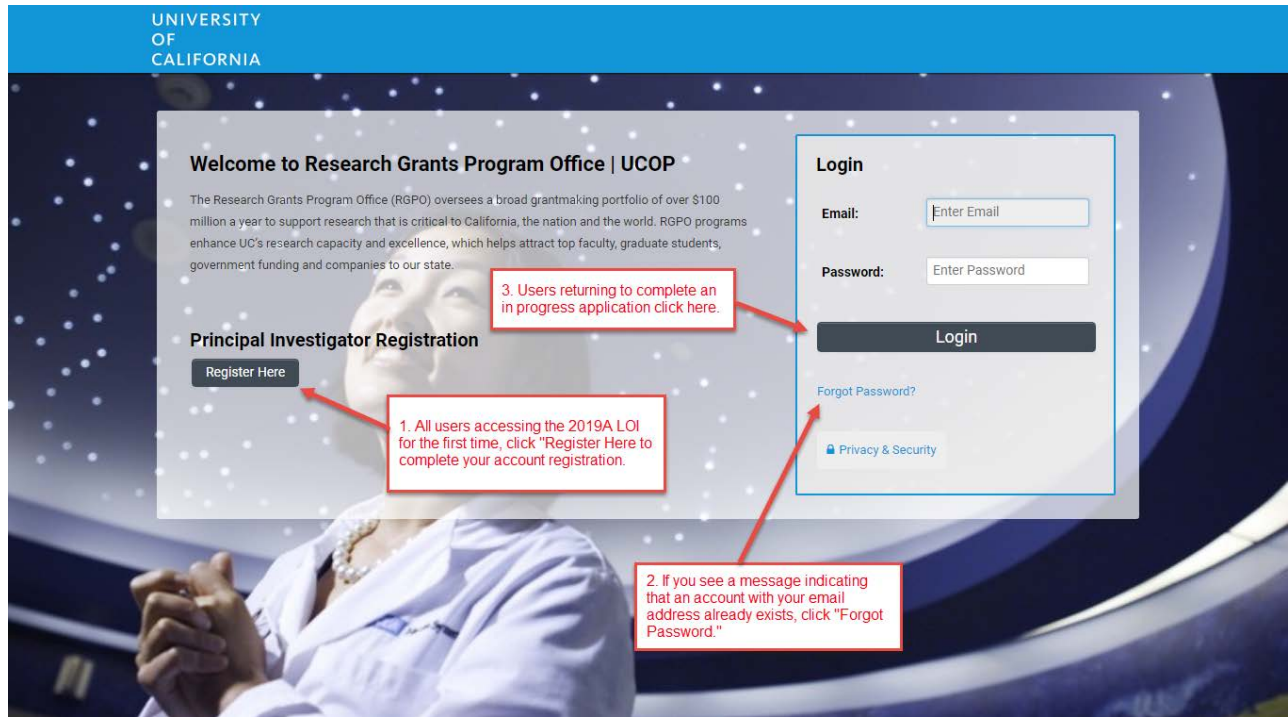
## Step 2: LOI Preparation and Submission

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."** You will then be taken to the Eligibility Check.

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 LOI process.  If your answer is "No," you are not eligible to apply.

> **ℹ Eligibility Check**
> Before starting an application, please answer the following questions to make sure this is the right program for you.
>
> Are you willing to do a High Impact Pilot for this award?
> ⦿ Yes  ○ No
>
> **✓ Submit**

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

> **ℹ Instructions**
> By clicking the Continue button below, you will begin your application.
>
> 1. **Helpful Tip #1:** As you work on your proposal, remember to frequently click the Save Draft button at the bottom of the application page. Any changes you make to the application will not be retained until you click the Save Draft button, so we recommend you click it often while working on your proposal.
> 2. **Helpful Tip #2:** You will be required to upload PDF files during this process. If your file name has special characters within it (e.g. period, dash, etc), the file may not upload properly. Remove all special characters from your file names before attempting to upload them.
>
> **⊕ Continue**

5. Once in the LOI interface, you will see two options on the left sidebar: Main and Notes.
   - **Main:** Click this tab to access each section of the LOI. Detailed instructions for each section are provided below.
   - **Notes:** Click this tab to create Notes for your LOI. 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 LOI sections under the Main tab.

6. In the "**Main"** tab**,** complete each section of the LOI 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 LOI in later  visits for additional work by selecting **"Open"** under **"In Progress Applications"** on the Home screen.

**STEP BY STEP: DETAILED DESCRIPTIONS OF EACH LOI SECTION**

1. Additional details for each section of the online LOI submission form are provided below. To begin the LOI, please select **Apply** *or*, if you have already started the LOI submission process and would like to make changes or complete your submission, select **"Open"** under **"In Progress Applications"** on the Home screen. Make sure the **"Main"** tab is selected on the left sidebar.

2. The LOI sections: **Title Page, Applicant/Principal Investigator, Project Information, Budget, 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 (*). **Note:** Please be sure to save your work periodically or after each entry.

3. As you move through each section using the horizontal navigation bar, instructions are always available for download at the top of the page.

4. Click the **"Preview"** button at any time to view, download, or print a pdf version of your LOI.

**LOI Section 1: Title Page**

- **Project Title:** Please enter the project title here (100 characters or fewer including spaces).
- **Project Start Date:** Please enter the project start date here. Refer to the call for applications for the award start date.
- **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 (2018B or 2019A) and are resubmitting a revised application, please select Yes. All other applications are considered new applications.
    - o Note: If this application has the same specific aims as an unfunded application you submitted in the last two TRDRP grant cycles (2018B or 2019A), please answer Yes. All other applications are considered new applications.
    - o **If Yes:** Enter the original application number and original application project title as listed in proposalCENTRAL (2018B) or SmartSimple (2019A).
- **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.

**LOI 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 section for accuracy. To make changes to this information, click on your name in the upper right corner of the page, and select "My Profile." Save your changes. Return to the LOI 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 2019, but it will become required in future funding cycles. If the ORCID for the Applicant/PI is not available, consider registering for one at orcid.org.

**LOI Section 3: Project Information: Research Area and Keywords**

- **Scientific Abstract:** Provide a concise summary of your project in technical terms that would be appropriate for experts in the field. The description should be no more than 2400 characters in length (approximately 350 words) to avoid truncation. Please check the entry after saving to be sure you have not exceeded the character limitations.

- **Specific Aims:** Describe the specific aims of your project (2400 character maximum).
- **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. All TRDRP applications first submitted in cycle 2019A or 2019B must be substantially focused on tobacco-related research.
- **For High Impact Research Project Award applications first submitted in 2019A: Tobacco-related health disparities or new and emerging tobacco products:**
  - Select from the drop-down menu one of the following statement that best describes your project:
    - Yes: the proposed research project addresses tobacco-related health disparities or promote a smoke-free life and environment among priority groups disproportionately impacted by tobacco use and tobacco-related diseases.
    - Yes: the proposed studies substantially focus on new and emerging tobacco products.
    - Yes: both statements above are true. The proposal addresses both tobacco-related health disparities and new and emerging tobacco products.
    - No: the proposal does not address tobacco-related health disparities or new and emerging tobacco products.
  - If you selected one of the Yes statements, additional questions will populate.
    - As applicable, check the Priority Groups and/or Product Groups that apply. If you select "Other," use the textbox to explain (500 character maximum).
    - Use the Description textbox to explain how your project addresses tobacco-related health disparities and/or investigates new and emerging tobacco products, relating your description to your proposed specific aims. Your response should be no more than 2400 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 each of the keywords textboxes provided. (Each set of keywords 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.
- **Subject Area(s):** Select the subject area(s).
- **Focus Area(s):** Start typing your project's focus area and the system will populate options. Please see Appendix B for a full list of available focus areas.
- **Preferred Review Committee:** Select one Review Committee that best reflects your research and the scientific expertise needed for its review. *Please note that the selection will only be used as a suggestion, and will mainly be a programmatic decision to allow optimal evaluation of your application through expert peer-reviewers.*

## LOI Section 4: Budget
- **Amount Requested:** Enter the estimated total amount requested (direct cost) for each project period. Click **"Save Draft,"** and the system will calculate the total amount requested. This amount is an estimate only and is not binding. If your LOI is approved, you may adjust the amount(s) in the full application stage. Hint: You must first select the project "duration" on the Title Page in order for the system to display the budget line(s) per project period.

## LOI Section 5: Signature Page
All applicants must certify that that the statements provided in the LOI are true, complete, and accurate to the best of the applicant's knowledge. The applicant is aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. The applicant agrees to accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.
- **Applicant Signature: Check the box to certify the information in your LOI.**
- **Signee:** Type your full name into the field.
- **Date:** Type the date on which you have signed the LOI.

## Review your LOI: Preview button
Click the **"Preview"** button to view or download a PDF of your LOI submission. The Preview button is made available so applicants may print or download their LOI submission. Click on the download or print icons (upper left corner) to view, print, or download the completed LOI.

## Submit your LOI
Click the "**Submit LOI**" button to submit your LOI to the program. If you decide not to submit the LOI and no longer want to be considered for this funding opportunity, you may wish to Withdraw your LOI. Clicking on **"Withdraw"** will completely remove the LOI record from your account. In lieu of

"Withdraw" you can choose not to submit a completed LOI.



**Confirming Status of Your Submitted LOI**
Following the submission of an LOI to SmartSimple, applicants will receive an email confirming receipt of the application. 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 us using the contact information provided at the end of this document. You can also confirm the status of your LOI submission by going to your SmartSimple home page, under the **"Home"** link in the upper right corner and clicking on **"Submitted/Under Review Applications."**

**LOI Approvals:**
You will have access to prepare a full application when you receive a separate email notification indicating that your LOI has been approved by TRDRP. The program will be approving LOIs on a rolling basis.  You should receive the email notification regarding approval/rejection of your  LOI within a few days of your LOI submission. Immediately upon receipt of the approval email,  access to the full application materials will be available under "**In Progress Applications"** on the Home screen. Go to the row corresponding to the LOI you submitted, and click **"Open."**

Once opened, on the Main page, download the *Submission Instructions and List of Award Details* document and the  templates, and review the application web pages. Carefully read the information in the *Submission Instructions and List of Award Details* in their entirety before you begin.

**General System Application Instructions (From Approved LOI to Full Application)**
**Application Submission Deadline: March 14, 2019 at 12:00 p.m. Pacific Time**

The following are general system instructions for:
- **High Impact Pilot Research Award**
- **High Impact Research Project Award**
- **New Investigator Award**
- **Postdoctoral Fellowship Award**
- **Predoctoral Fellowship 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, please contact us using the contact information provided at the end of this document.

**Part B. Overview of Proposal Submission Process**

**Prior to beginning your full application, your Letter of Intent (LOI) must be approved.** Access to application forms will not be available to applicants until their LOI is approved. Upon LOI approval an email notification will be sent to the Applicant Principal Investigator (applicant). It will then be possible to re-enter the system as a registered user, and login as an applicant to begin the full application process.

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

**Step 1:  Accessing SmartSimple:** https://ucop.smartsimple.com to create and submit a Letter of Intent (LOI) by the LOI deadline.  This step should have been completed.

**Step 2: Upon receipt of notification of LOI approval, log in to SmartSimple to prepare and submit the full application.** The applicant who submitted the LOI may log in to SmartSimple at https://ucop.smartsimple.com to see the approval status of the LOI. Once logged into the system:

1. Once logged into the system, by default you are on the **My Applications** Home screen. The page displays a list of all of your in progress, submitted, or awarded LOIs or applications.
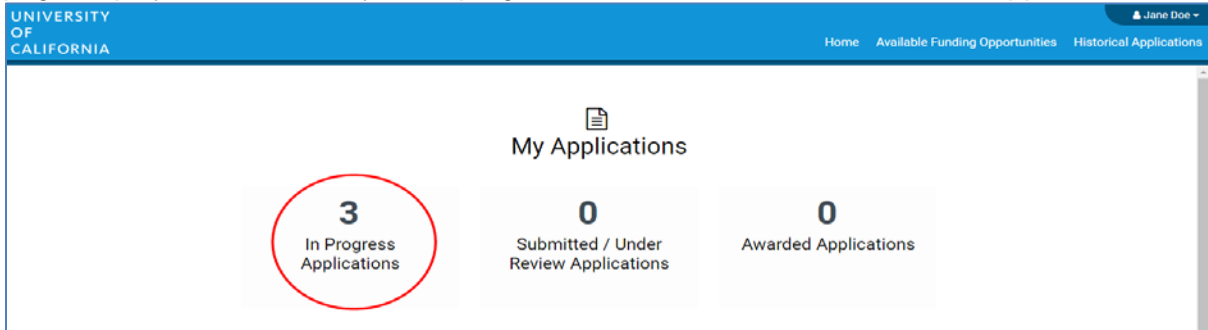


2. Click on **"In Progress Applications."** Find the row for the LOI in which you received a notification email. Confirm approval of your LOI under the "Status" column, which should read "Invited to Full Application."
3. Click **"Open"** on the far right.
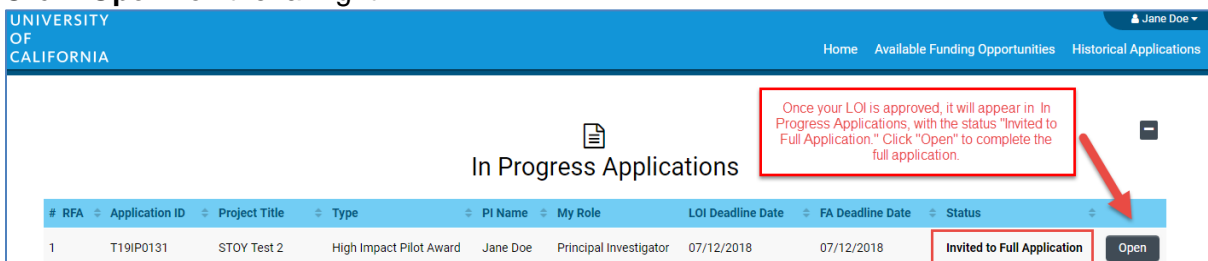


4. You will have a chance to review and edit the information you submitted in your LOI by clicking through the LOI section headings. Once you have reviewed, click **"Continue"** to move to the full application interface.
5. Complete each section of the application and submit by the deadline. Please see 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.

**Responses entered at the LOI stage will be automatically entered in the proposal stage. Please review all of the pre-populated information, make updates or changes as necessary, and save the form(s).**

In addition to the Main and Notes tabs on the left sidebar, you will see the **Invite Personnel** 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 at the full application stage 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 the users' 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.



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, Assurances, 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**

Please review all of the pre-populated information on this page, make updates or changes as necessary.

- **Project Title:** Please enter the project title here (100 characters or fewer including spaces).
- **Project Start Date:** Please enter the project start date here. Refer to the call for applications for the award start date.
- **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 (2018B or 2019A) 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 (2018B or 2019A), please answer Yes. All other applications are considered new applications.
    - **If Yes: Enter the 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 *Facilities & Out-of-State Expenses* 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 in 2019, 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**

<span style="color:red">**Responses entered at the LOI stage will be automatically entered in the proposal stage. Please review all of the pre-populated information, make updates or changes as necessary, and save the form(s).**</span>

- **Lay Abstract:** Provide a concise summary of your project in non-scientific terms that would be understood by a lay audience. The description should be no more than 2400 characters in length (approximately 350 words) to avoid truncation. Please check the entry after saving to be sure you have not exceeded the character limitations.
- **Scientific Abstract:** Provide a concise summary of your project in technical terms that would be appropriate for experts in the field. The description should be no more than 2400 characters in length (approximately 350 words) to avoid truncation. Please check the entry after saving to be sure you have not exceeded the character limitations.
- **Specific Aims:** Describe the specific aims of your project (2400 character maximum).
- **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. All TRDRP applications first submitted in

cycle 2019A or 2019B must be substantially focused on tobacco-related research.

- **For new High Impact Research Project Award applications first submitted in 2019A: Tobacco-related health disparities or new and emerging tobacco products:**
  - Select from the drop-down menu one of the following statements that best describes your project:
    - Yes: the proposed research project addresses tobacco-related health disparities or promotes a smoke-free life and environment among priority groups disproportionately impacted by tobacco use and tobacco-related diseases.
    - Yes: the proposed studies substantially focus on new and emerging tobacco products.
    - Yes: both statements above are true. The proposal addresses both tobacco-related health disparities and new and emerging tobacco products.
    - No: the proposal does not address tobacco-related health disparities or new and emerging tobacco products.
  - If you selected one of the Yes statements, additional questions will populate.
    - As applicable, check the Priority Groups and/or Product Groups that apply. If you select "Other," use the textbox to explain (500 character maximum).
    - Use the description textbox to explain how your project addresses tobacco-related health disparities and/or investigates new and emerging tobacco products, relating your description to your proposed specific aims. Your response should be no more than 2400 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 Type(s) and corresponding Sub-Type(s) that best represent your project.
- **Subject Area(s):** Select the subject area(s).
- **Focus Area(s):** Start typing your project's focus area and the system will populate options. Please see Appendix B for a full list of available focus areas.
- **Preferred Review Committee:** Select one Review Committee that best reflects your research and the scientific expertise needed for its review. *Please note that the selection will only be used as a suggestion, and will mainly be a programmatic decision to allow optimal evaluation of your application through expert peer-reviewers.*
- **Research Demographics:** Click **"Enter Research Demographics."** A separate window will open. Enter numerical digits in the applicable fields to indicate the race and sexual orientation of your research participants, organized by gender. Totals will calculate at the end of each demographic section. Click **"Save"** to save your changes. Click **"Close"** to return to the full application. A summary of the research demographics that you entered will populate.

- **Milestones and Timetable:** Click **"Enter Milestones."** A separate window will open. Click **"+"** to add a row and enter a milestone. Repeat for additional milestones. Use the **"Up"** and **"Down"** arrows at the right of each row to arrange your milestones in chronological order. Click **"X"** to remove a row. Click **"Save"** to save your changes. Click **"Close"** to return to the full application. A summary of the milestones that you entered will populate.



- **Suggested Reviewers:** If you would like to suggest one or more individuals to review applications submitted in this cycle, click **"Enter Suggested Reviewers."** A separate window will open. Click **"+"** to add a row, and enter the suggested reviewer's name, title, institution, email, and any notes you may want to share. Repeat to add additional suggested reviewers. Click **"Save"** to save your changes. Click **"Close"** to return to the full application. This section is optional and is not required.
    - The UC Office of Research & Graduate Studies will constitute the panels, assign reviewers, and make final determinations regarding panel composition. You may suggest qualified individuals in institutions outside of California for our consideration who could provide reviews of your proposal without conflicts of interest. Please list the name, address, email address and telephone number of reviewers. All reviewer recommendations will remain confidential.

**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:** You **MUST** add all project personnel as specified in Appendix C. 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.

- **Letters of Reference (Blind) – Fellowship Applicants Only:** Applicants to the Postdoctoral Fellowship Awards and Predoctoral Fellowship Awards must submit a letter of support from the mentor and a minimum of two additional references. The submitted letters of reference are blind to the applicant: the status of the letter is available to the applicant but the content is not. The content of the letters are available to the funding organization and its designated reviewers.
  - When an invited referee's letter is submitted, the status will appear in this section.
  - Please invite referees using the **"Invite Personnel"** tab on the left sidebar.
  - In the "**Invite Personnel**" tab, click **"+"** to add a new user. Enter their name and email, and select the role of Referee.
  - Once you have added a user, click **"Save"** to save the user's information, or click **"Invite"** to send an invitation email to the user.
  - Add additional referees by clicking **"+"** and entering their information, repeating for all referees. Once you have added all desired referees, 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.
  - Click on the "**Main**" tab on the left sidebar to return to the full application sections.
  - **Note that all required letters of reference must be uploaded by the referees before the applicant submits the application to the signing official. Once the application is submitted to the signing official (and subsequently submitted to TRDRP), no letters can be added. Please work with your referee to ensure all letters can be uploaded to the system in a timely manner.**

**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 D 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.

o 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."**

o 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: <span style="color:red">Clicking "Budget Complete" will lock your budget and you will not be able to make additional edits.</span>**



## Application Section 6: Organization Assurances

Answer the Yes/No questions regarding the usage of vertebrate animals, human subjects, biohazards, and DEA substances.

If you answered "Yes" to any of the questions, indicate the assurance status for each type of usage:

- Under Animal Use, click **"Enter IACUC Details."** A new window will open.
  1. Click **"+"** to add a new row.
  2. As applicable, enter the approval and expiration dates, and assurance number. Click **"Save,"** then **"Close."**
  3. Click **"Upload"** to upload assurance documentation.
  4. Repeat for all Animal Use assurances.
- Repeat the steps above for Human Subjects (click **"Enter IRB Details"**), Biohazard (click **"Enter Biohazard Details"**), and DEA Controlled Substance (click **"Enter DEA Substance Details"**), as applicable. Some responses may prompt additional questions that you should complete.

**Application Section 7: 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.*

**Resubmissions:**
- **All revised applications must include a revision statement that is limited to <span style="color:red">two pages</span> immediately preceding the Research Plan (include as part of the Research Plan PDF upload).** The revision statement should summarize any substantial additions, deletions, and changes that have been made. It must also include responses to criticisms in the summary statement provided in response to the previous submission. These changes should be highlighted within the text of the Research Plan by appropriate bracketing, indenting, or changing of typography. The Preliminary Studies section should include any relevant work done since the prior version was submitted.
- **Revised applications from cycle 2019A must include the Summary Statement from your 2019A application.** You should download the Summary Statement from your 2019A SmartSimple grant file and upload it to the Resubmission Summary Statement PDF field of your 2019B submission. Revised applications from cycle 2018B may skip this step.

**Application Section 8: 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. **<span style="color:red">Note: The signing official must complete this step prior to the application deadline. Please plan submission timelines accordingly.</span>**
- 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 us using the contact information at the end of this document. 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."**

⊙ Main
Notes (1)
Invite Personnel

**T19IP0131 STOY Test 21**

ℹ️ 🗐

**ℹ️ Full Application RFP Details**
Name: RGPO TEST - TRDRP 2019A High Impact Pilot Award
Type: High Impact Pilot Award
Deadline: 07/12/2018 18:30:00

1. If the signing official sends the application back to you for revisions, the next time you access the application, you will see any comments made by the signing official directly above the application section headings. Review the comments and click the section headings to update your application.

**Templates and Instructions:**

📄 RFP_Templates_and_Instructions_-_High_Impact_Pilot.PDF
215 kB - 05/11/2018 7:55pm

Total Files: 1

❗ **Signing Official Comments**
Please revise

🖨 Preview

**TITLE PAGE**   APPLICANT / PRINCIPAL INVESTIGATOR   PROJECT INFORMATION   INSTITUTION CONTACTS   BUDGET   ASSURANCES   DOCUMENTATION   SIGNATURE PAGE

Application ID: T19IP0131

\* Project Title: STOY Test 21

\* Project Start Date: 04/07/2019  📅 ❓

\* Project End Date: 06/07/2021  📅 ❓

\* Project Duration (year): 2  ▾

❓

2. Regardless of which sections you have updated, you will need to reconfirm your budget by clicking on the Budget section heading and then "Budget Complete."

\* Is this a re-submission?

Please indicate if this is a resubmission of a prior application. A resubmission is an unfunded application that is revised and resubmitted to respond to the critiques under the currently reviewed grant cycle. Please note that TRDRP will accept only a single resubmission of the same or very similar project from the last two cycles, regardless of change in application title.

○ Yes
⊙ No

\* Does your proposed research involve out-of-state (outside of California) expenses?

Yes = The proposed budget includes out-of-state expenses
No = The proposed budget does NOT include out-of-state expenses

3. Once you have made the necessary application updates, click "Submit to Signing Official."

○ Yes
⊙ No

Save Draft   ⊘ Withdraw   ☑ Submit to Signing Official

## Appendix A: TRDRP Cycle 2019 Proposal Form Upload Requirements

| Form Name & Template Availability | Notes & Page Limits | High Impact Research Project (IR) & High Impact Pilot Research (IP) | New Investigator (KT) | Predoctoral Fellowship (DT) & Postdoctoral Fellowship (FT) |
|---|---|---|---|---|
| **Research Plan**<br>- Word template provided | - Page Limit: 10 plus literature cited.<br>- Resubmissions must include an additional 2 pages revision statement immediately preceding the Research Plan.<br>- Upload single PDF. | Required | Required | Required |
| **Facilities & Out of State Expenses**<br>- Word template provided | - Page limit: 2 per template<br>- One template per application plus one extra template per each subcontract involved.<br>- Upload Single PDF. | Required | Required | Required |
| **Biosketch**<br>- Use 2015 or newer NIH biographical sketch format; template provided<br>- Required for Applicant PI, Co-Investigator(s), advisor(s) / Mentor(s), and other senior research roles. Refer to personnel definitions at end of instructions. | - Each biosketch is limited to 5 pages.<br>- **Upload each biosketch in individual PDF.**<br>- Label the file with the person's name and role, e.g. "Doe, Jane – Co-Investigator" | Required | Required | Required |
| **Community Engagement & Communication**<br>- Word template provided | - Page limit: 1<br>- Upload PDF. | Required | Required | Required |
| **Career Development Plan**<br>- Word template provided | - Page limit: 1<br>- Upload PDF. | Not Applicable | Not Applicable | Required |
| **Mentor Training Experience**<br>- Word template provided | - Page limit: 2<br>- Upload PDF. | Not Applicable | Not Applicable | Required |
| **Mentoring Plan**<br>- Word template provided | - Page limit: 2<br>- Upload PDF. | Not Applicable | Not Applicable | Required |

| Form Name & Template Availability | - Notes & Page Limits | High Impact Research Project (IR) & High Impact Pilot Research (IP) | New Investigator (KT) | Predoctoral Fellowship (DT) & Postdoctoral Fellowship (FT) |
|---|---|---|---|---|
| **Human Subjects Accrual**<br>- Word template provided | - No Page limit.<br>- Upload PDF. | Required | Required | Required |
| **Vertebrate Animals**<br>- Word template provided | - No Page limit.<br>- Upload PDF. | Required | Required | Required |
| **Appendix List & Attachments**<br>- Word template provided | - For all: Page limit: 25 including cover list.<br>- Upload one single PDF file.<br>- ***For New Investigator awards:*** Letters of Recommendation must be included as part of the appendix (Department Chair's letter is required; provide up to 2 other reference letters if desired). | Optional | Required | Optional |
| **Resubmission Summary Statement**<br>- Must be downloaded from your 2019A SmartSimple grant file and uploaded to your 2019B submission | - Predetermined page limit<br>- Upload PDF. | Required for 2019A resubmissions only | Required for 2019A resubmissions only | Required for 2019A resubmissions only |
| **Letters of Recommendation (Blinded)**<br>- Blinded to applicant (uploaded directly by referee into the system via "invite personnel")<br>- For fellowship awards only<br>- No template provided | - ***For predoctoral:*** letter from dissertation advisor & at least two other individuals.<br>- ***For postdoctoral:*** letter from research advisor & at least two other individuals.<br>- Minimum of 3 & up to 5 letters should be provided. | Not Applicable | Not Applicable | Required |

## Appendix B: Focus Areas

| | | |
|---|---|---|
| Animal Sciences | Electronics and Electronics Manufacturing | Nanotechnology |
| Anthropology | Energy | Networking and Internet Technologies |
| Art and Art Practice | Energy Policy | Neuroscience |
| Astronomy and Astrophysics | Engineering | New Nicotine Products |
| Atmospheric Science | Engineering – Chemical | Nicotine Dependence |
| Behavioral Sciences | Engineering – Civil | Nuclear Sciences |
| Biochemistry | Engineering – Electrical | Opportunistic Infections |
| Bioengineering and Biotechnology | Engineering – Mechanical | Pathogenesis |
| Biofuels | Engineering – Nuclear | Patient Safety Research |
| Biology | Environmental Sciences | Physics |
| Biology- Molecular/Cell | Epidemiology | Planetary and Space Science |
| Biophysics | Etiology | Plant Science |
| Cancer – Breast | Evaluation Research | Plasma Physics |
| Cancer – Lung | Gender and Women's Studies | Policy |
| Cancer – Other | Genomics/proteomics | Political Science |
| Cancer Detection Methods | Geography | Prevention |
| Cardiovascular Disease | Geology | Prognosis |
| Chemistry | Health and Wellness | Psychology |
| Climate Studies and Climate Change | Healthcare Services and Systems | Pulmonary Diseases |
| Communications | History | Race and Ethnicity |
| Community Engaged Research | HIV/AIDS | Security Studies |
| Community-based Participatory Research | Humanities | Sexuality Studies |
| Computer Science | Imaging | Socioeconomic Status |
| Cosmology | Immigration | Sociology |
| Criminology and Incarceration | Immunology | Solar Energy |
| Cultural Studies | Information Technology | Statistics |
| Demography | International and Area Studies | Stem Cell Biology |
| Developmental Biology | Interventions | Theoretical Physics |
| Digital Media | Languages and Linguistics | Therapeutics/Treatment |
| Disease Transmission | Marine and Oceanic Sciences | Tobacco Use |
| Disparities and Social Inequality | Materials Science and New Materials | Tobacco Use Cessation |
| Earth Science and Geophysics | Mathematics and Computational Sciences | Toxicology |
| Economics | Microelectronics | Vaccine Development |
| Education | Molecular Biology | |

**Appendix C: 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 for applications for eligibility requirements.
    - Note: there is only one applicant who serves at the PI; there is no such role as Co-Principal Investigator or Co-PI.
    - A **Biographical Sketch** must be provided for the Applicant Principal Investigator.
    - 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.
    - A **Biographical Sketch** must be provided for each co-investigator listed.
    - 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 postdoctoral 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.
    - 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 predoctoral fellowship applicant.
    - Predoctoral Fellowship requires at least one dissertation advisor, and may have limited or no other project personnel involved.
    - The dissertation advisor must provide a blinded letter of recommendation through the **Letters of Recommendation** section on SmartSimple. Refer to the application instructions for additional details.
    - A **Biographical Sketch** must be provided for the dissertation advisor.
    - 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.
    - Postdoctoral Fellowship requires at least one research advisor, and may have limited other personnel involved.
    - The research advisor must provide a blinded letter of recommendation through the **Letters of Recommendation** section on SmartSimple. Refer to the application instructions for additional details.
    - A **Biographical Sketch** must be provided for the research advisor.
    - 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 **Biographical Sketch** 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 **Budget Justification**. 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 **biographical sketch** 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 D: 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 is 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 E: 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-UC 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 F: 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. 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.
   - Note for UC Applicants: You will need to type in "University of California" in the search box in order to see your campus listed in the dropdown list. If you have difficulty locating 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, use the "search the IRS database" feature or contact us to have your institution added to the system.
   - Referees: If you have a referee who cannot locate their institution in the SmartSimple database or if they are from an institution outside the United States, they may select "Referee Institution" as their institution, and continue with registration and submission of their letter of reference. Contact RGPOgrants@ucop.edu to have their institution updated.

**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

**TRDRP and RGPO:** 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 SmartSimple technical assistance, 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.*