



## **TRDRP Smoke and Vape Free Scholars Initiative Program and Planning Awards**

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## I. Initiative Purpose

To achieve a tobacco-free California requires diverse approaches that are tailored to individual communities, especially those with the highest continued tobacco use rates. Groups targeted by the tobacco industry, referred to as “tobacco priority populations”, continue to be disproportionately affected by tobacco use. It is critical that members of those communities participate in and drive the research that will inform how best to reduce the negative impacts of tobacco and achieve health equity.

To help develop a pipeline of dedicated tobacco control researchers and advocates, the Tobacco-Related Disease Research Program (TRDRP) Smoke and Vape Free Scholars Initiative (SVFSI) will support mentorship and training programs for undergraduate, post-baccalaureate, and master’s students from tobacco priority populations to conduct mentored tobacco-related research, while also participating in local tobacco control projects and other educational activities. The goal of this initiative is to stimulate student enthusiasm for tobacco-related research and foster engagement and persistence of the next generation of researchers that represent the diversity of tobacco priority populations.

## II. Award Mechanisms

TRDRP invites proposals from administrators, faculty, and staff at California State Universities (CSUs) or California Community Colleges (CCCs) to partner with doctorate-granting institutions to provide mentorship and research training experiences for undergraduate, post-baccalaureate and master’s-level students from tobacco priority populations. Funds will be awarded competitively to support student research internships as well as other collaborations or activities that serve the goals of the Initiative.

### 1. Program Awards

Four-year grant to support CSU/CCC institution(s) to provide an overall educational theme relevant to tobacco control issues, mentorship in tobacco control for students from tobacco priority populations, and to provide scholar research experiences at a partner doctorate-granting institution. Funding for research internships may support laboratory, environmental, social, economic and policy research, literature reviews, social science data analysis, historical research, or other research training activities. The Program Awards require a partnership between at least two institutions. The **CSU/CCC institution** must be a member of the CSU or CCC systems, and the **research institution** must be a California authorized doctorate-granting institution.

### 2. Planning Awards

One-year grant to support CSU/CCC institution(s) to prepare a competitive application for the SVFSI Program Award for submission in the Fall of 2022. The SVFSI Planning Awards will support assembly of a team, time to plan the theme and structure of the mentorship and training program, and time to prepare an application. The Planning Awards will provide support for the CSU/CCC Institution to identify a partner research institution, identify potential additional collaborating institutions/organizations, and establish a team of individuals to prepare a TRDRP SVFSI Program Award application. The intent of the Planning Award is to enable applicants to prepare competitive applications, whether or not that institution is currently collaborating with a doctorate-granting research institution. The outcome of the Planning Awards is submission of an

SVFSI Program Award application in the Fall 2022. The Planning Award is not designed for the recruitment of students or support for research internships.

NOTE: Applicants do not need to apply for a SVFSI Planning Awards before applying for a SVFSI Program Award.

### III. Key Dates

|                        |  |                                     |
|------------------------|--|-------------------------------------|
| 2022<br>SVFSI<br>Cycle | 2022 SVFSI Call Release                          | July 16, 2021                       |
|                        | <a href="#">Webinar</a> for potential applicants | July 27, 2021                       |
|                        | Letter of Intent Deadline                        | August 26, 2021 at 12 pm noon PT    |
|                        | 2022 Application Deadline                        | September 30, 2021 at 12 pm noon PT |
|                        | Notification of Review Outcome                   | December 2021                       |
|                        | Award Start Date                                 | March 1, 2022                       |
| 2023<br>SVFSI<br>Cycle | SVFSI Networking Workshops                       | March 2022                          |
|                        | 2023 SVFSI Call Release & LOI Deadline           | Summer 2022                         |
|                        | 2023 Application Deadline                        | Fall 2022                           |

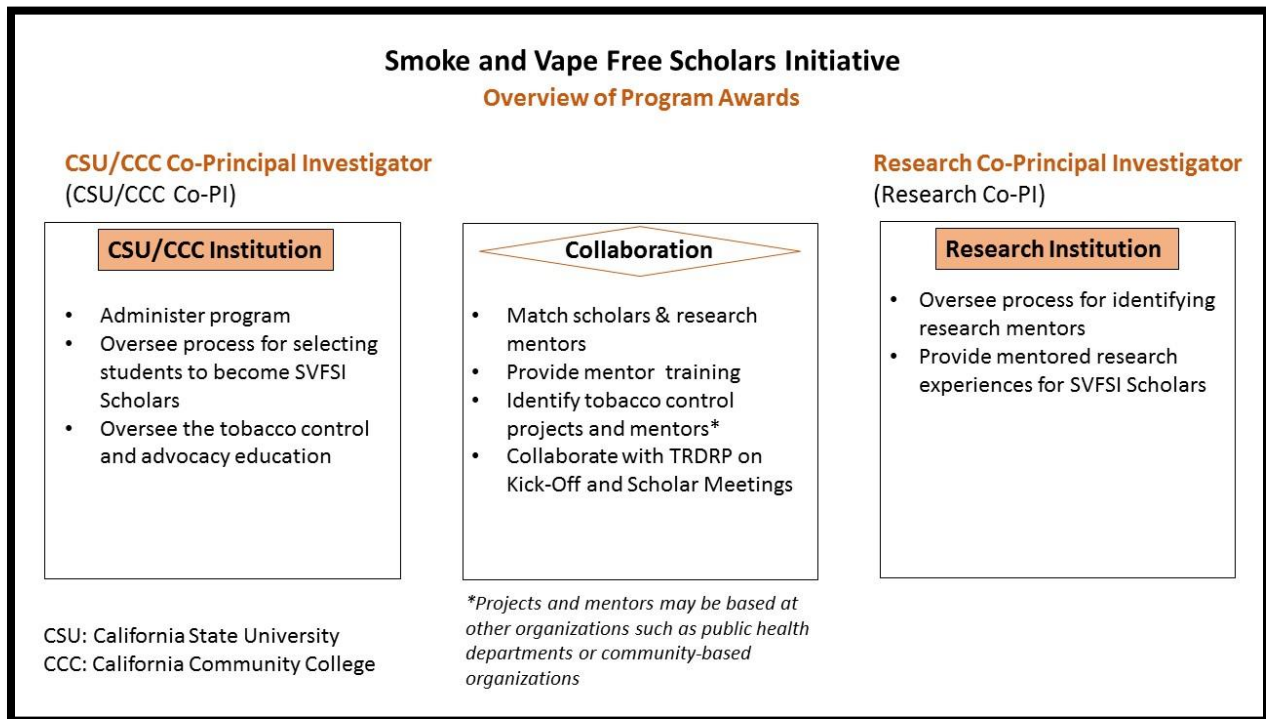
### IV. Resources for Funded SVFSI Awards

TRDRP plans to provide resources on its website that applicants may use to augment their SVFSI Programs. In addition, TRDRP will conduct a Networking Workshop to facilitate communication among Planning Award recipients and potential partner Research Co-PIs at research institutions in Spring 2022. Participation in the workshop is optional and will be open to any investigator interested in applying for a SVFSI Program Award in Fall 2022.

### V. SVFSI Program Awards Outline

All Program awards will be a partnership between at least two institutions; a CSU/CCC Institution (see V.1.A) and a Research Institution (see V.1.B). Awards will be made as a partnered award, with the CSU/CCC institution and the research institution as co-funded, Applicant Co-Principal Investigator partners, each managing their own budget. Additional institutions can participate as collaborating institutions, with funds distributed to them through a subcontract from one of the two budgets.

The SVFSI Overview of Program Awards graphic provides an outline of the basic program components (see [Program Award Components](#) for more detail).



The primary functions of the CSU/CCC institution are to provide an administrative home for the program, oversee the process for selecting students that will become SVFSI scholars, and oversee the tobacco control/advocacy components of the program. The primary function of the research institution is to recruit research mentors and to provide mentored research experiences for the SVFSI Scholars.

Applicants are required to submit cross-institutional, collaborative programs that:

- describe an overall theme for the program that is relevant to tobacco control issues for one or more priority population(s) at the CSU/CCC, in the local community, or in the State of California. The theme is intended to attract CSU/CCC students to the SVFSI Program by providing them a perspective on how tobacco use impacts their lives and their communities.
- present a strategy for recruiting and selecting students who are members of tobacco priority population(s) who may identify with the program theme to become members of the cohort of SVFSI Scholars (see section V.2.B)
- identify research mentors at the research institutions
- identify tobacco control/advocacy mentors and projects from tobacco control organizations, community organizations, or public health agencies
- provide scholars with tobacco control/advocacy educational experiences
- provide research internship experiences for up to 15 scholars to conduct 6 to 12-month tobacco-related research projects over 4 years
- match scholars with mentors
- coordinate with TRDRP to host yearly Kick-Off Events and Scholar Meetings where scholars give scientific presentations, share their experiences and network.

Although each institution has designated primary functions as shown in the graphic above, applicant teams may utilize existing resources at either institution to achieve program goals. For example, although the tobacco control educational activities are in the purview of the CSU/CCC, some activities may actually take place at the research institution if that institution has an existing lecture series relevant to tobacco control. Similarly, CSU/CCC institutions with existing tobacco-related research programs may provide some of the research experiences for the SVFSI Scholars. Applicant teams are encouraged to design programs that leverage the strengths and resources of both institutions.

## **1. Program Awards - Eligibility**

Mentorship and training programs funded by the SVFSI Program Award must be based at an eligible CSU/CCC Institution (see V.2.A).

### **Eligible CSU/CCC Institutions**

Each SVFSI Program application will include a partnership with at least one **CSU/CCC institution** that is a member of the California State University (CSU) System or the California Community College (CCC) System, and a **research institution** that is a California authorized doctorate-granting institution. To be eligible, the proposed program must include a partnership between the CSU/CCC and research institutions.

Applicants are encouraged to collaborate with additional CSUs and CCCs in order to provide broader access to candidate students. With justification, some of the students may also be recruited from the partner research institution and/or collaborating research internship institution(s).

### **Eligible Research Institutions**

Each SVFSI Program application will include a partnership with at least one research institution that is a California doctorate-granting university that is able to provide mentored research internships for the SVFSI Scholars.

Applicants are encouraged to collaborate with additional universities/research institutions that engage in tobacco-related research to expand the pool of possible research internships. Please note, only California not-for-profit organizations are eligible for TRDRP funding.

For tobacco-relatedness, please see V.2.C, or in the [TRDRP 2022 Call for Applications](#) (Core Awards).

### **Eligible Tobacco Control/Advocacy Project Institutions**

Tobacco control and advocacy project activities may take place at institutions that have and enforce tobacco control policies, such as the CSU/CCC and Research Institutions, a local tobacco control organization, or other local organization such as a school or clinic. These projects may also involve activities with local legislators working on tobacco control policies or other tobacco control advocacy projects.

## 2. Program Awards - Components

### A. Program Administration

Each program must include the following administrative roles. Project personnel may perform more than one administrative role.

#### **CSU/CCC Co-Principal Investigator**

Each SVFSI Program application will be submitted by a Co-Principal Investigator from an CSU or CCC institution (**CSU/CCC Co-PI** and *Applicant/Principal Investigator in the SmartSimple grants management system*). The CSU/CCC Co-PI will partner with a **Research Co-PI** from a doctorate-granting research institution to develop and coordinate the SVFSI Program. The CSU/CCC Co-PI may be a full-time faculty member or hold another appropriate position that allows her/him to effectively co-design and administer the program. The CSU/CCC Co-PI will have primary responsibility for all programmatic and administrative aspects of the SVFSI Program Award, including adherence to TRDRP budgetary, policy, reporting and program assessment requirements.

#### **Research Co-Principal Investigator**

Each SVFSI Program application will include a partner on the award as a **Research Co-PI** from a Research Institution that awards doctorate degrees. (see V.1.B). The Research Co-PI will:

- i. coordinate the research internships for the scholars
- ii. manage recruitment of research mentors at all participating institutions
- iii. collaborate with the CSU/CCC Co-PI
- iv. collaborate with the the Scholar Recruitment Coordinator
- v. collaborate with the Scholar Support Coordinator on implementing, evaluating, and improving mentoring, selecting SVFSI Scholars and providing support activities for the SVFSI Scholars (see V.2.F).

The following administrative functions may be performed by the **CSU/CCC Co-PI** and/or **Research Co-PI**, if they have the appropriate expertise. Alternatively, those functions may be performed by additional personnel from the two main partner institutions or from other institutions. Project personnel may perform more than one administrative function. All paid personnel must be located within California.

#### **Scholar Recruitment Coordinator**

Applicants are required to name in their application an outreach expert who is knowledgeable and skilled in recruiting students from priority population(s). This individual does not have to be employed by the CSU/CCC Institution and can be recruited from a different institution or the community. The Scholar Recruitment Coordinator may be someone with experience working with people from underrepresented populations, has direct experience within the community or has existing or demonstrated relationships that enable access to the community. The Scholar Recruitment Coordinator will implement and continually improve the culturally appropriate student recruitment approaches, and will be involved in co-managing the mentoring activities (see V.2.F.)

### **Scholar Support Coordinator**

Applicants are required to name in their application a team member who is knowledgeable and skilled in supporting students from the priority population(s) representing the theme of the program (see V.2.B). This team member will implement a culturally appropriate scholar support program and will be involved in managing the other mentoring activities (see V.2.F.)

### **Tobacco Control/Advocacy Project Coordinator**

Each program will identify a team member who will recruit tobacco control/advocacy mentors and who will coordinate tobacco control/advocacy project assignments (see V.2.D) for the scholars supported by the program.

### **Educational Activities Coordinator**

Each SVFSI Program will identify a team member who will manage the education enhancement activities and ensure that the SVFSI Program theme is incorporated in the educational activities (see V.2.E).

## **B. Scholar Recruitment and Selection**

SVFSI Programs will develop a Scholar Recruitment Plan that aligns with the theme of the overall program and is focused on tobacco control issues(s) for priority population(s). The Scholar Recruitment Plan will include identification of a potential cohort of undergraduate, post-baccalaureate and/or master's students who will enhance the diversity of the college student body who are participating in tobacco-related research in California. The State of California Tobacco Education Research and Oversight Committee ([TEROC](#)) [2021/2022 Plan](#) calls for reduction of disparities related to commercial tobacco use and the empowerment of youth and young adults to take meaningful roles in tobacco control. Groups targeted by the tobacco industry, referred to as "tobacco priority populations" continue to be disproportionately affected by tobacco use. TRDRP is therefore particularly interested in enhancing participation of students who belong to tobacco priority populations in SVFSI Programs. SVFSI Program partners will recruit students from a cohort of one or more tobacco priority population(s) represented in the program theme. SVFSI Program applicants will also develop criteria they will use to select potential students for inclusion in the program as SVFSI Scholars.



The Scholar Recruitment Plan will provide a strategy depicting how students from one or more of the following tobacco priority populations will be encouraged to participate in proposed SVFSI Program:

- Formerly incarcerated individuals
- Individuals employed in blue-collar jobs, agriculture, and the service industry prior to entering college
- Individuals with mental illness, including substance use disorders
- People of low socioeconomic status, including the homeless
- People with disabilities
- Pregnant and breastfeeding women
- Racial/ethnic minorities (e.g., African Americans, American Indians and Alaska Natives, Asian Americans, Latinos, Native Hawaiians and other Pacific Islanders, and individuals identifying with multiple racial groups)
- Rural residents
- School-age youth
- Sexual/gender minorities (e.g., Lesbian, Gay, Bisexual, Transgender people)
- Veterans, ROTC enrollees

Applicants may focus on other tobacco priority populations and must provide a rationale when including other groups disproportionately impacted by tobacco use and tobacco-related diseases in their recruitment efforts. Although this initiative is designed to enhance participation of members of tobacco priority populations in research, TRDRP recognizes that applicants will adhere to their institution's rules when recruiting scholars.

### **C. Research Internships**

Each funded SVFSI Program should be designed to support a total of up to 15 scholar research internships over a period of up to 4 years. The research internship projects must be tobacco-related, and must address one or more of TRDRP's research priorities:

1. Research questions in support of the California End Commercial Tobacco Campaign
2. Social and behavioral prevention and treatment
3. State and local tobacco control policy research
4. Tobacco related diseases
  - a. Cancer prevention, treatment and biology
  - b. Cardiovascular and cerebrovascular diseases
  - c. Oral diseases and dental health
  - d. Pulmonary biology and lung diseases
  - e. Other tobacco-related health effects
5. Environmental exposure and toxicology
6. Neuroscience of nicotine addiction and treatment

For tobacco-relatedness, please see section V.2.C, or in the 2022 Call for Applications in the [TRDRP 2022 Call for Applications](#) (Core Awards).



Research internships must be a minimum of six months and a maximum of twelve months. The months spent on internship research do not have to be contiguous, but a research segment must be at least three months long. For example, a six-month internship may be designed as two three-month research segments over two summers. Applicants should detail the optimal research internship period for scholars and timeline for their proposed program and recruited scholars.

A research mentor has to be a faculty member at the research institution, or an independent researcher at other organizations that engage in tobacco-related research projects.

#### **D. Tobacco Control/Advocacy Projects**

Each scholar is expected to participate in a tobacco control or advocacy project, under the supervision of a tobacco control mentor. The tobacco control mentors must be engaged in relevant activities, such as developing and enforcing local tobacco control policies, disseminating tobacco control messages or interventions to tobacco priority populations, communities, or working with legislative staff on tobacco-relevant policies. The choice of tobacco control/advocacy institution and projects should meaningfully contribute to the overall goals of the Initiative. The projects may, but do not have to, focus on the tobacco priority population(s) from which scholars will be recruited. Scholars who engage in biomedical research may participate in social behavioral (e.g., tobacco use prevention) or tobacco policy projects, for this component.

#### **E. Educational Enhancement Activities**

SVFSI Programs will provide auxiliary educational activities to scholars, which should be developed as a collaborative effort between the CSU/CCC Co-PI and the Research Co-PI. The educational activities should cover the tobacco control issues highlighted in the program theme.

- i. Examples of educational activities include a seminar series, supplementary courses, or specialized workshops, which should prepare scholars how to conduct scientific research during their research internships and provide context for tobacco control-relevant issues through courses on the subject. Scholars should also be encouraged to present their research internship and tobacco control projects to peers and others beyond the SVFSI Scholar Meeting that will be organized in collaboration with TRDRP.
- ii. SVFSI Programs will develop a plan for advising their scholars on their career paths and pursuing further educational opportunities beyond the scholarship.
- iii. Each funded program will be asked to collaborate with TRDRP to develop one to two webinars for a nine webinar series that covers TRDRP's research priorities (see V.2.B). This Initiative intends to provide students with an overview of a broad range of topics relevant to tobacco control, policy and research. Attendance at all nine webinars will be required for all scholars across the Initiative and the webinar series will be offered to other TRDRP-funded trainees.

## **F. Mentoring Activities**

To ensure productive and mutually beneficial mentor-mentee relationships and to foster the development of student's ability to emerge as tobacco-related research and advocacy professionals, mentoring activities should be developed in close collaboration between the CSU/CCC Co-PI and the Research Co-PI and their institution(s). The goal is to ensure that interactions between mentors and mentees are culturally sensitive and that historically underrepresented students are well-prepared to embark on a research career.

### **i. Mentor Training**

To increase mentoring knowledge and skills for mentors, SVFSI Programs will establish a Mentor Training Plan that includes general mentor training and training tailored to emphasize mentoring for tobacco priority population(s) that should comprise the SVFSI Scholar cohort.

### **ii. Scholar-Mentor Matching**

Each program will propose an approach for matching scholars and mentors that maximizes their scientific, personal, and cultural alignment.

### **iii. Scholar Mentoring and Support**

Programs must provide a Scholar Mentoring and Support Strategy that describes how scholars will be advised, supported and assessed throughout their scholarship period. Such strategies might include individual faculty sponsors at the CSU/CCC institutions, individual mentoring committees with participation of the research and tobacco control mentors, or other arrangements that provide for support and guidance of the scholars. The Scholar Mentoring and Support Strategy should also include mechanisms for mediating issues that may arise between scholars and mentors. To set clear expectations, each scholar /mentor pair is expected to develop a Mentoring Agreement or Compact, where each agrees to their goals, expectations and commitments during the period they work together. Each scholar is expected to be guided by an Individual Development Plan that focuses on paths to achieving the short- and long-term career plans of the scholar and is developed by the scholar in collaboration with the mentor and others involved in supporting the scholar.

## **G. Program Evaluation**

Each SVFSI Program will develop a Program Evaluation Plan for tracking and evaluating the program's outcomes, including collecting feedback from the scholars and mentors on their experiences. This will help the program adjust their approaches, if needed, and help TRDRP assess the successes and needed improvements to the SVFSI Program.

### 3. Program Awards – Award Overview

- A. Maximum total award amount:** \$ 1,150,000 (direct costs)
- B. Maximum duration of Program Award:** 4 years
- The first year *may* be dedicated to developing and initiating the program, and it *may* also include placement of SVFSI Scholars in research internships (Year 1)
  - Placement of SVFSI Scholars in research internships (Years 2-4)
- C. Maximum number of total scholars per award:** 15 scholars (e.g., 5 scholars per year for 3 years, yearly number of scholars can vary)
- D. Budget:** SVFSI Program Awards are partnered awards. Each institution that is a partner in the program must complete a budget.
- E. Travel:**
- **Project-related travel:** Budget as needed for the CSU/CCC Co-Principal Investigator (Co-PI) and Research Co-PI, (must be fully justified)
  - **Travel to TRDRP Kick-Off Event:** \$750 for the CSU/CCC Co-PI and \$750 for the Research Co-PI
  - **Scientific conference travel:** maximum of \$2,000 per year for the CSU/CCC Co-PI and \$2,000 per year for the Research Co-PI
- F. Allowable direct costs for key personnel, research mentors, tobacco control/advocacy mentors:** Salaries, fringe benefits, supplies, project-related travel, including TRDRP-organized events
- G. Allowable direct costs for scholars:** stipend, tuition & fees, health insurance, room & board for temporary relocation, other (childcare, elder care, etc.), project-related travel, including TRDRP-organized events

The **maximum amounts** for each category are listed in the Award Table below. In the application budget, approximate the needed scholars' funds. The exact funds for scholars will be negotiated with TRDRP each year, based on the number of scholars recruited and placed in a research internship, and the allowable costs to cover the demonstrated needs of each scholar with the understanding that individual scholars may have different needs. The goal is to support each scholar's commitment to research. The maximum dollar amounts per scholar are based on a full-time, 12-month internship. The effort and length of internship will be taken into account in cost negotiations.

## Award Table

|   |                    |
|---|--------------------|
| Years of award                              | 4                  |
| Administration funds per year               | \$100,000          |
| <b>Administrative funds total</b>           | <b>\$400,000</b>   |
| Total number of scholars per award          | 15                 |
| Funds per scholar                           | \$40,000           |
| Funds for research mentor                   | \$5,000            |
| Funds for tobacco control mentor            | \$5,000            |
| Maximum total per scholar                   | \$50,000           |
| <b>Scholars' funds (15 total per award)</b> | <b>\$750,000</b>   |
| <b>Total Direct Costs per Award</b>         | <b>\$1,150,000</b> |

**H. Indirect costs:** Full indirect costs are permitted for non-University of California (UC) institutions. Indirect costs to UC campuses are set at 30 percent.

**I.** Costs for out-of-state sub-contracts and collaborations are not allowed.

**J. Award requirements:**

- Applicants must have Principal Investigator-status at the sponsoring institution or hold a position that allows them to effectively design and administer an SVFSI Program. The PI must therefore have at least 2 years of experience with college-level student instruction or student support service delivery and must have a leadership role in their position (e.g. Director, Associate Director).
- For awards with a Research Co-PI from the University of California (UC), in accordance with UC policy, Co-PIs who are UC employees and who receive any part of their salary through UC must submit their budget through their UC campus contracts and grants office. Exceptions must be approved by the UC campus where the PI is employed.
- A minimum of five percent effort is required for the CSU/CCC Co-PI and five percent effort is required for the Research Co-PI. The number of project personnel covering all six administrative functions (see V.2.A.) may be two or more.
- Funded programs will work with TRDRP to contribute one to two webinars to an annual nine webinar series that covers TRDRP's research priorities (see V.2.C, V.2.E)
- Participating scholars will attend one Kick-Off Event and one TRDRP-organized Scholar Meeting co-organized by the SVFSI Program and TRDRP where scholars present their research plans and results, share their experiences and network. Scholars will also be required to attend nine webinars (see bullet above).
- U.S. citizenship is not a requirement for participants in SVFSI Programs, including individuals performing administrative functions (see V.2.A), scholars and mentors.

TRDRP reserves the right to negotiate details of SVFSI Programs approved for funding after considering feedback from peer review and TRDRP's Scientific Advisory Committee.

#### 4. Program Awards - Review Criteria

##### Criteria Set-1: Impact (30% percent scoring weight)

- Impact on diversity of research pipeline: Does the proposal integrate an overall theme of tobacco control for one or more priority populations that is likely to attract CSU/CCC students to the SVFSI Program? Does the proposed program have the necessary significance and potential for impact toward developing a diverse pipeline of dedicated tobacco control researchers and advocates from tobacco priority populations?
- Impact on scholars: Is the proposed program likely to have a meaningful, positive impact on scholars' career development in tobacco-related research and awareness of tobacco-related issues?

##### Criteria Set-2: Quality of the program (50% scoring weight)

- Scholars: Are appropriate approaches proposed for the recruitment of qualified students from targeted tobacco priority population(s)? (Please note that at the time of application, no scholars will have been recruited)
- Internships & Education: Are the research internships, tobacco control/advocacy projects and educational programs appropriately designed and planned to provide scholars a quality experience in tobacco-related research and a path to further career development? Is the program theme incorporated in the educational activities in a manner that is likely to galvanize the commitment SVFSI Scholars to the SVFSI Program? Are the tobacco control/advocacy projects likely to benefit the tobacco priority population(s) from whom scholars will be recruited?
- Mentoring: Are the approaches to match scholars and mentors and other mentoring activities well thought out to enable productive and mutually beneficial research internships? Do they facilitate cultural sensitivity? Have adequate approaches been established for supporting scholars and assessing their progress? Are Mentoring Agreements or Compacts between the scholars and mentors incorporated into the mentoring plan? Will Individual Development Plans be used to plan and monitor the short- and long-term career plans of the scholars?
- Administration & Evaluation: Is the administration of the program and the coordination of cross-institutional collaborations well designed, ensuring successful implementation of the proposed program? Is the Collaborative Agreement well thought out? Will the planned program evaluation meaningfully contribute to the ongoing improvement of the program over its lifetime?

##### Criteria Set-3: Feasibility of the program (20 % scoring weight)

- Team: Are the SVFSI Program CSU/CCC and Research Co-PIs and other key personnel appropriately qualified to carry out their roles? Are the roles and responsibilities of the team members clearly defined?
- Access to students: Do the CSU/CCC Institution(s) demonstrate access to the student population(s) of interest?
- Institutions: Does the proposed program adequately leverage the unique strengths of the institutions involved to achieve the goals of the Smoke and Vape Free Scholars Initiative?
- Institutional support: Is there evidence of adequate institutional support?

### **Additional Review Criterion**

Reviewers will evaluate the appropriateness of the requested administrative funds when scoring but will not give a separate score for this criterion.

## **VI. SVFSI Planning Awards Outline**

SVFSI Planning Awards will be made to eligible Principal Investigators at CSU/CCC Institutions that plan on submitting an SVFSI Program Award application in the fall of 2022.

### **1. Planning Awards – Eligibility**

Applicants must be a member of the California State University (CSU) System or the California Community Colleges (CCC) System. Applicants must have Principal Investigator status at the sponsoring institution or hold a position that allows them to effectively design and administer an SVFSI Program. The PI must therefore have at least 2 years of experience with college-level student instruction or student support service delivery and must have a leadership role in their position (e.g. Director, Associate Director).

### **2. Planning Awards – Components**

#### **A. Principal Investigator**

The Principal Investigator will have primary responsibility for all programmatic and administrative aspects of the Planning Award, including adherence to budgetary, policy and reporting requirements.

#### **B. Theme for the Future Smoke and Vape Free Scholars Program**

A SVFSI Planning Award will be anchored in a theme for a future SVFSI Program Award that is focused on supporting the development of tobacco control research scholars from one or more tobacco priority populations. The application theme should be focused on a tobacco control issue or goal for one or more priority population(s) at the CSU/CCC, the local community, or for the State of California. The theme is intended to attract CSU/CCC students to the SVFSI Program by providing a perspective on how tobacco use impacts their lives and their communities.

#### **C. Planning Activities**

TRDRP will host a Networking Workshop in March 2022 to foster the formation of partnerships between CSU/CCC institutions and doctoral-granting research intensive institutions that are interested in applying for an SVFSI Program award in the fall of 2022. All recipients of SVFSI Planning Awards are invited to this meeting. Applicants should describe any additional plans to identify a partner doctoral-granting research institution if one has not already been identified. Team-building activities, project planning meetings, and proposal writing tasks should be described. Plans for performing field work, research, and other data gathering activities needed to inform the theme or structure of the future SVFSI Program Award should also be described. A timeline for all planning activities should be included in the description.



### 3. Planning Awards – Award Overview

- **Maximum award amount per year:** \$25,000 (direct costs)
- **Maximum duration:** 1 year
- **Allowable direct costs:** Salaries, fringe benefits, supplies, project-related travel, including TRDRP-organized events
- **Indirect costs:** Full indirect costs are permitted.
- Costs for out-of-state sub-contracts and collaborations are not allowed.
- **Travel:**
  - **Project-related travel:** Budget as needed for the CSU/CCC Principal Investigator, (must be fully justified)
  - **Travel to the TRDRP Networking Workshop:** \$750 for the PI
  - **Scientific conference travel:** maximum of \$2,000 for the PI
  - **Award requirements:**
    - i. Applicants must have Principal Investigator-status at the CSU/CCC or hold a position that allows them to effectively design and administer an SVFSI Program. The PI must therefore have at least 2 years of experience with college-level student instruction or student support service delivery and must have a leadership role in their position (e.g., Director, Associate Director).
    - ii. A minimum of five percent effort is required for the PI.
    - iii. U.S. citizenship is not a requirement

### 4. Planning Awards - Review Criteria

The intent of the Planning Awards is to enable Principal Investigators from CSUs and CCCs to prepare competitive applications for the SVFSI Program Awards in the fall of 2022, whether or not that institution is currently collaborating with a doctorate-granting institution. Prior identification of the partner research institution is not a requirement for the Planning Award application. TRDRP will conduct a Networking Workshop to facilitate communication among Planning Award recipients and future partner research institutions during the planning period.

#### Criteria Set-1: Program Theme (40% percent scoring weight)

- Is the proposed theme relevant to current tobacco control issues for the designated priority population(s)?
- Does it provide context that is likely to engage CSU/CCC students and foster their interest in the program?

#### Criteria Set-2: Planning Activities (30% scoring weight)

- Are the proposed team building and application planning activities and timeline likely to result in a competitive SVFSI Program application?
- Does the applicant demonstrate commitment to providing tobacco control-relevant projects, activities and educational opportunities?

#### Criteria Set-3: Qualifications (30% scoring weight)

- Is the PI appropriately qualified to lead a future SVFSI Program? If identified, do other personnel contribute experience and expertise that strengthen a future SVFSI Program?



- Does the CSU/CCC have access to students from the priority population(s) addressed in the program theme? Is there a clear track record of supporting the identified population(s)?
- Is there evidence of adequate institutional support at the CSU/CCC?
- IF APPLICABLE: If identified, is the contribution of the partner research internship institution(s) or other potential collaborating institution(s) likely to lead to a meaningful tobacco-related research and educational experience for the scholars?

### **Additional Review Criterion**

Reviewers will comment on the appropriateness of the requested administrative funds.

## **VII. Application Procedures for Program and Planning Awards**

Applicants who wish apply for a SVFSI Program or Planning Award must use the University of California Office of the President (UCOP) Research Grants Program Office (RGPO) SmartSimple grants management system, <https://ucop.smartsimple.com>.

Please review the “[SmartSimple LOI and Full Application Submission Instructions](#)” for the technical instructions to submit a LOI and Full Application. All required fields in SmartSimple must be completed prior to submission of the LOI and Full Application. The sections noted below provide supplemental programmatic instruction to guide the content of your submission.

### **1. Letter of Intent Instructions**

Applicants must submit a letter of intent (LOI) using the SmartSimple grants management system, <https://ucop.smartsimple.com>. LOIs are non-binding, but applications will not be accepted from institutions that have not had an LOI accepted by TRDRP. A review of the LOI will be conducted by TRDRP on a rolling basis for acceptable eligibility and tobacco-relatedness. Applicants with approved LOIs will be invited to submit a full application.

**Lay Abstract:** Use the following guidance to complete the lay abstract (up to 2400 characters).

#### **Program Award**

Briefly describe the proposed SVFSI Program using an organizing theme that is focused on tobacco control issue(s) and how it will contribute to the training of a diverse group of scholars and foster their interest in tobacco control and advocacy. Include the numbers and types (undergraduate/post-baccalaureate/master’s students), the tobacco priority population(s) targeted for student recruitment, and the range of tobacco-related research opportunities and tobacco control activities available to scholars in the proposed program. Comment on the team’s experience with fostering the careers of students. Describe the potential impact of the program on the students in light of the goals of the Initiative and how the partnerships proposed will facilitate these outcomes.

#### **Planning Award**

Briefly describe the SVFSI Planning Award overall theme for the Fall 2022 SVFSI Program submission and how it will contribute to the training of a diverse group of scholars in tobacco-related disease or tobacco control research. Include the tobacco priority population(s) you intend to prioritize for student recruitment in your future SVFSI Program.

## 2. Application Instructions

Responses entered into the SmartSimple grants management system at the LOI stage will be automatically entered into the Full Application stage. Please review all of the pre-populated information, make updates or changes as necessary, and save the form(s).

The application for an SVFSI **Program** or **Planning** Award includes the following sections: ‘Project Information’, ‘Project Contacts’, ‘Project Budget’, and ‘Project Documentation’, which are described in detail next.

The **SVFSI Program** Awards are partnered awards, with the **CSU/CCC Co-PI** and **Research Co-PI**. *NOTE: In SmartSimple, the CSU/CCC Co-PI is known as the Applicant/Principal Investigator.* The CSU/CCC Co-PI will follow the instructions and use the “Invite Personnel” feature in SmartSimple to invite the Research Co-PI to contribute to the application. This invitation will trigger an email to the Research Co-PI that invites them to join in writing the application.

### Project Information

**Lay Abstract** (up to 2400 characters, pre-populated from the LOI stage). The lay abstract will become public information, if funded.

#### Program Award

Briefly describe the proposed SVFSI Program and how it will contribute to the training of a diverse group of scholars in tobacco-related research and foster their commitment to tobacco control and advocacy. Include the types (undergraduate/post-baccalaureate/master’s students) and numbers of scholars, the tobacco priority population(s) targeted for scholar recruitment, the range of tobacco-related research opportunities and tobacco control activities available to scholars in the program. Comment on your team’s experience with fostering the careers of the targeted population(s).

#### Planning Award

Briefly describe the concept for the SVFSI Program you envision and how it will contribute to the training of a diverse group of scholars in tobacco-related research. Include the tobacco priority population(s) you intend to prioritize for scholar recruitment in your future SVFSI Program.

### Milestones and Timetable

#### Program Award

Use this section to provide your timeline for

- Developing and implementing your proposed SVFSI Program
- Recurring scholar recruitment periods
- Recurring scholarship periods
- Educational activities
- Recurring Program evaluations

Please make sure to leave at least 8 weeks between completion of scholar recruitment and scholarship start time each year/cycle, to allow enough time for TRDRP to review the list of recruited scholars and negotiate the CSU/CCC Co-PI's budget for scholar internships.

### **Planning Award**

Use this section to provide your timeline for the proposed planning activities, with an estimated Program Award application submission deadline of October 2022. The exact deadline will be available on the TRDRP website when the 2023 Call for applications is released in the summer of 2022.

### **TRDRP Research Priorities**

#### **Program Award**

Please choose one or more research priorities reflecting the types of research projects scholars will be able to conduct.

#### **Planning Award**

Since 'Research Priorities' is a required field, please choose any of the options provided, even though you may not yet know what types of research projects your envisioned SVFSI Program will offer.

## **Project Contacts**

### **Project Personnel**

#### **Program Award**

List the CSU/CCC Co-PI, the Research Co-PI and additional administrative personnel covering the roles of Scholar Recruitment Coordinator, Scholar Support Coordinator, Tobacco Control/Advocacy Project Coordinator, and Educational Activities Coordinator (see V.2.A.). A given team member may serve in more than one role. Do not include internship research mentors in this section. (*On the Project Personnel table in SmartSimple, both the CSU/CCC Co-PI and the Research Co-PI must be listed as "Applicant Principal Investigator," and the other administrative roles must be listed as "Co-Investigator."*)

For each administrative person, provide a biographical sketch using the template provided. Together, the biographical sketches should highlight prior experience and/or special expertise with each of the six administrative functions detailed in V.2.A. Where appropriate, emphasis should be placed on experience with administering training programs that promote and foster students from diverse backgrounds, and specifically from backgrounds targeted in the proposed SVFSI Program.

#### **Planning Award**

List the Principal Investigator (PI) of the award and, if applicable, other administrative personnel. (*In SmartSimple, the CSU/CCC PI must be listed as "Applicant PI" and other administrative roles as Co-Investigator in SmartSimple.*)

Provide a biographical sketch for the PI, and, if applicable, for each additional team member, using the template provided. The biographical sketches should highlight prior experience

and/or special expertise with developing and administering training programs that promote and foster trainees / scholars from diverse backgrounds, and specifically from background(s) prioritized in the envisioned SVFSI Program.

## **Budget**

Provide all budget information requested in the budget section of the application. Allowable costs for Program and Planning Awards under this Call for Applications are described above (see V.3 & VI.3).

### **Program Award Budget**

The CSU/CCC and Research Institutions will be partners on the SVFSI Program Awards and each must complete a budget. This means the CSU/CCC Co-PI and the Research Co-PI will each have their own budget as prime grantees on the funded Program Award. If one of these two partners has a subcontract, then that prime partner can complete the budget for the subcontracting organization/institution.

### **Planning Award Budget**

This award type is not a partnered award. The CSU/CCC Institution will be the only grantee listed on the TRDRP award. This means the CSU/CCC PI will complete the budget for any subcontracting organization/institution.

## **Documentation**

The Documentation Table lists the required documents for each award type. Templates must be downloaded from the Documentation tab of SmartSimple, completed, converted to PDF, and either uploaded to the designated link in the application (the “Upload” location is listed in the last column of the table) or included in the appendix (“Appendix” in last column in table below).

## Documentation Table

| Required Documents  | Required: yes / no |                | Page limit                   | Template provided | Upload / Appendix |
|---|--------------------|----------------|------------------------------|-------------------|-------------------|
|   | Program Award      | Planning Award |                              |                   |                   |
| <b>SVFSI Biosketch (All Personnel listed in Project Personnel Section)</b>                    | yes                | yes            | 5<br>(for each biosketch)    | yes               | Upload            |
| <b>SVFSI Program Award Plan</b>   | yes                | no             | 10<br>(excluding references) | yes               | Upload            |
| <b>SVFSI Planning Award Plan</b>  | no                 | yes            | 5<br>(excluding references)  | yes               | Upload            |
| <b>Participating Institutions &amp; Organizations Table</b>                                   | yes                | no             | None                         | yes               | Appendix          |
| <b>Letter of Agreement from collaborator(s), <u>if applicable</u>*</b>                        | yes*               | optional       | 2                            | no                | Appendix          |
| <b>Collaborative Agreement</b>  | yes                | no             | 2                            | yes               | Upload            |
| <b>Institutional Commitment Letter from CSU/CCC Institution and from Research Institution</b> | yes                | yes            | 2                            | no                | Upload            |
| <b>Facilities</b>   | yes                | yes            | 1 per institution            | no                | Upload            |
| <b>Appendix list and appended material</b>  | yes                | yes            | 30                           | yes<br>(for list) | Upload            |

\*Applicants are only required to confirm collaborations beyond the CSU/CCC and Research Institutions that form the prime partnership for the SFVSI Program Award.

### 3. Detailed Description of each Proposal Document:

#### **SVFSI Biographical Sketch (Page limit: 5 for each biosketch)**

##### **Program and Planning**

*Use the SVFSI Biosketch Template for each project person and upload it in the Project Personnel section.*

1. Personal Statement
2. Positions and Honors
3. Experience and/or special expertise with one or more of the administrative functions for SVFSI Program Awards (Co-Principal Investigator, Scholar Recruitment Coordinator, Scholar Support Coordinator, Tobacco Control / Advocacy Project Coordinator, Educational Activities Coordinator). Where appropriate, emphasis should be placed on experience with administering training programs that promote and foster students from diverse backgrounds, and specifically from the priority populations that are the focus of the proposed SVFSI Program.

Note that there is a standard biosketch available in the template list in SmartSimple. Please do not use the standard template, nor the standard template instructions, when preparing your application.

#### **SVFSI Program Award Plan (Page limit: 10, excluding references)**

##### **Program ONLY**

*Use the SVFSI Program Award Plan template to describe your program, addressing the 5 areas listed below and upload it under “Program/Planning Plan”.*

#### **1. Participating Institutions & Organizations**

Each SVFSI Program must at minimum be a partnership of two institutions, the CSU/CCC institution and a Research Institution. Each program must, (i) recruit students, who will (ii) conduct research internships and (iii) participate in tobacco control/advocacy projects. A given institution may provide more than one of these activities, and additional collaborating institutions & organizations may participate in a program. See section V.1 for eligibility requirements and include the Participating Institutions & Organizations Table (template provided) in the appendix.

Provide an overview of the collaborative cross-institutional structure of your proposed SVFSI Program, describing the planned contributions of each confirmed collaborating institution / organization and their relevant expertise. Describe each institution / organization’s access to targeted students and mentors, as applicable. If specific collaborations for scholar recruitment, research internship opportunities and/or tobacco control/advocacy projects are not yet in place but planned, summarize rationale and plans for and status of establishing collaboration opportunities. Indicate whether you plan to take advantage of TRDRP resources for identifying mentors and tobacco control/advocacy projects (see IV.1, optional).

#### **2. Overall SVFSI Program Design**

You may want to include a diagram to help illustrate your overall program design.

- Describe an overall theme for the program that is relevant to tobacco control issues for

one or more priority population(s) at the CSU/CCC, in the local community, or in the State of California. The theme is intended to attract CSU/CCC students to the SVFSI Program by providing a perspective on how tobacco use impacts their lives and their communities. It is also intended to galvanize the commitment of the recruited SVFSI Scholars to the SVFSI Program.

- Describe the specific focus and purpose of the training program, including the numbers and types of students (undergraduate/post-baccalaureate / master's students) and the tobacco priority population(s) they represent.
- Describe the research training to be offered, including:
  - internship duration (minimum 6 months, maximum 12 months), effort commitment, timing during academic year
  - Research subject areas offered for research internships (must be one or more of TRDRP's research priorities)
  - how internship research projects will be designed to ensure scholars receive a meaningful introduction to the conduct of research
  - required courses at CSU/CCC institution (describe briefly the material to be covered in each course) and, if applicable, at research internship institution
  - auxiliary training, career development and networking activities
- Describe the tobacco control/advocacy projects to be offered as part of the program including:
  - duration, effort, timing during academic year
  - type(s) of projects and their relevance to the tobacco priority population targeted for scholar recruitment
- Describe the auxiliary educational activities that will be provided to the scholars, and how the research internships, tobacco control/advocacy projects and other proposed training activities will be integrated into a comprehensive educational program. Specify how the proposed educational activities will address the program theme.
- Describe the rationale and approaches to tailoring the education program to the targeted tobacco priority population(s).

### **3. Scholar Recruitment and Selection**

- Describe the tobacco priority population(s) (see V.2.B) from which scholars will be recruited. Describe the access to those population(s) at the CSU/CCC institution and, if applicable, the Research Institution.
- Describe how scholars will be attracted and recruited to the program and selected for participation. Include tailored approaches to reaching candidate scholars who may not otherwise have considered to seek training in research.

### **4. Mentoring Activities**

- Mentor Training Plan: Provide a description and rationale for mentor training activities and courses you intend to implement. This should include general mentor training and training tailored to the tobacco priority population(s) targeted by the program.
- Scholar-Mentor Matching Strategy: Describe the process for matching trainees and mentors and explain how it will facilitate best outcomes for scholars and mentors.



- Scholar Mentoring and Support Strategy: Describe the needs of the scholars, that would need to be addressed for a successful research experience. Describe how scholars will be advised, supported and assessed throughout their SVFSI period and explain your approach to Mentoring Agreements or Compacts, Individual Development Plans and scholar – mentor mediation approaches. If available, include templates you will use in Appendix.

## 5. Program Administration and Evaluation

- Describe plans for the administrative and educational leadership of the program. Explain how the six administrative functions (see V.2.A) will be coordinated.
- An SVFSI Program is inherently collaborative, and it is critical to anticipate hurdles and agree on how to resolve them. Describe how cross-institutional collaborations will be managed and upload the Collaborative Agreement (template provided), describing your approach to team communication, decision making, handling of disagreements and turnover of personnel. If funded, TRDRP recommends that the participating institutions enter into a memorandum of understanding (MOU) that formalizes their collaboration plans.
- Describe how, when, and how frequently the performance of your SVFSI Program will be evaluated, including scholar and mentor satisfaction. Consider creative evaluation tools that include qualitative, quantitative, and technology-driven information gathering methods. Explain how the need for course corrections will be identified and how they would be implemented, if needed.

## SVFSI Planning Award Plan (Page limit: 5, excluding references)

### Planning ONLY

*Use the SVFSI Planning Award Plan template to describe your planning activities, addressing the 2 areas listed below and upload it under “Program /Planning Plan”.*

### 1. Theme for the Future SVFSI Program

- Describe an overall theme for the program that is relevant to tobacco control issues for one or more priority population(s) at the CSU/CCC, in the local community, or in the State of California. The theme is intended to attract CSU/CCC students to the SVFSI Program by providing a perspective on how tobacco use impacts their lives and their communities.
- Describe the tobacco priority population(s) (see V.2.B) that will be prioritized for student recruitment in the future SVFSI Program and why; how the CSU/CCC is well positioned to work with that population(s), and any plans for procuring additional expertise and access to potential students to ensure a successful recruitment process.
- Describe any unique needs of the students that would need to be addressed for a successful research experience.

### 2. Planning Activities and Qualifications

- Delineate your plans for assembling an SVFSI Program team and conducting the preparation of an SVFSI Program application.
- Describe any hurdles you anticipate in developing and administering the program, and

how you plan on overcoming them.

- Describe your qualifications pertinent for leading an SVFSI Program.
- Describe your and your institution's interest and prior accomplishments and activities in tobacco control and advocacy, and how you envision your future SVFSI Program may integrate tobacco-related educational activities. Describe whether, and if so, how you might solicit additional expertise to ensure effective educational enhancement activities for the future SVFSI Program.
- Describe your and your institution's interest and, if applicable, experience with providing students with research experiences. Describe whether your institution already collaborates with doctorate-granting universities or institutions, and if so, whether you plan to approach existing collaborators or other institutions to serve as a partner institution, and why.

[OPTIONAL] If you have already initiated outreach to a potential partner research internship institution(s) or other potential collaborating institution(s), describe their intended contribution to the future SVFSI Program, and include a letter(s) of support, if applicable, in the appendix.

### **Participating Institutions & Organizations Table (no page limit)**

#### **SVFSI Program Award ONLY**

*Fill out the "Participating Institutions & Organizations Table" template and include in appendix* Enter information for (i) the CSU/CCC Institution, (ii) the Research Institution, and already established collaborations with (iii) tobacco control/advocacy institution(s), and other institutions or organizations into the table, using the template provided. Already established means a letter of agreement, indicative of their commitment to or interest in participating as a collaborating institution/organization, is available and included in the appendix. If an institution/organization has agreed to provide more than one program activity, re-list it for each activity.

Information to be listed for each institution / organization:

- Name of institution / organization
- Focus area
  - i. Priority population(s) prioritized for scholar recruitment, or
  - ii. TRDRP research priority(ies) offered (for research internship), or
  - iii. Type of tobacco control/advocacy project(s) offered (for tobacco control/advocacy project)
- Team member / local coordinator
- Confirmed mentors, if applicable

List prospective mentors, if individuals have agreed to accept scholars for research internships or tobacco control/advocacy projects and are committed to participate in the proposed SVFSI Program. Applicants are not required to identify individual mentors at the time of application; provide mentor names only for specific internship opportunities that are in place at the time of application.

## **Letter of Agreement, if applicable (Page limit: 2 per letter)**

### **Program ONLY**

*Include letter of agreement in the appendix, no template provided*

If the proposed SVFSI Program involves collaborating institutions beyond the two co-funded partners, and the collaboration has already been confirmed at the time of application submission, include a letter of agreement from the collaborating institution, detailing their contribution to the proposed SVFSI Program.

## **Collaborative Agreement (Page limit: 2)**

### **Program ONLY**

*The “Collaborative Agreement” template is to be filled out by the CSU/CCC and Research partners. Upload it under “Collaborative Agreement”. This form is used in Peer Review to critique the qualifications of the SVFSI Program team.*

1. Team Communication Plan: Describe the frequency and modes of communication that will be utilized by the administrative team (see VI.A in the Call for Applications) to facilitate information gathering about program progress and arising issues.
2. Decision-Making Process: Develop and describe a team decision-making process that will be used to make decisions about ongoing and unexpected issues, such as scholar-mentor disputes or possible changes needed to the SVFSI Program to ensure its continued success. Describe how you plan to consider multiple perspectives from administrative team members and arrive at a consensus or majority decision. Describe how the SVFSI Program-related decisions will be finalized.
3. Handling Disagreements: Describe the process you will go through to manage disagreements that might arise between the partners during the administration of the SVFSI Program. Possible issues that may arise are cultural humility, administrative and budget issues.
4. Plans for Turn-over of Personnel: Describe how the turn-over of personnel will be handled. Describe what steps will be taken to select a replacement for an individual responsible for any of the six administrative functions, or any of the participating institutions, if needed. Given the collaborative nature of SVFSI Programs, please keep in mind that the replacement of any of the administrative functions or participating institutions will need to be approved by TRDRP.

If funded, TRDRP recommends that the participating institutions enter into a memorandum of understanding (MOU) that formalizes their collaboration plans.

## **Institutional Commitment (Page limit: 2)**

### **Program and Planning**

*Upload Institutional Letters of Support under “Letter of Commitment” (no template provided).*

### **Program Award**

The partners, CSU/CCC Institution and the Research Institution, must each provide a letter of support, signed by a senior organizational official who has the authority, or who has been delegated the authority, to commit the applicant/co-applicant institution to support the proposed

SVFSI Program. This letter should document in specific terms the nature of the institution's current and future commitment to the proposed SVFSI Program during the period of the award and should include a description of facilities and resources available to the program. A discussion of the institution's track record and future plans for expanding educational activities relevant to the proposed program should also be included.

### **Planning Award**

The CSU/CCC Institution must provide a letter of support, signed by a senior organizational official who has the authority, or who has been delegated the authority, to commit the applicant institution to support the proposed planning activities and the envisioned SVFSI Program. This letter should document in specific terms the nature of the institution's current and future commitment to the envisioned SVFSI Program and should include a description of facilities and resources available for the planning activities and envisioned program.

### **Facilities (Page limit: 1 per institution).**

#### **Program and Planning**

*Fill out the "Facilities" template for each participating institution and upload under "Facilities".*

Briefly describe the facilities and resources (e.g. administrative space and equipment, access to institutional programs) that are needed and may be leveraged for successfully carrying out the proposed work.

### **Appendix List and appended material (Page limit: 30).**

#### **Program and Planning**

*Fill out the "Appendix List" template, append required and optional documents to it and upload under "Appendix"*

Include all required documents listed below in the appendix. You may include additional supplemental documents. The Program/Planning Award Description must be self-contained and understandable without having to refer to supplemental documents in the appendix. The appendix is not to be used to circumvent page limitations of the application. No supplemental materials are allowed after the submission deadline unless requested by the TRDRP.

#### Required documents

- Participating Institutions & Organizations Table (template provided, Program ONLY)
- Letters of Agreement from additional collaborating institutions (if applicable)  
Supplemental documents (optional)
- Mentoring Agreements or Compacts – templates that will be used by the applicant
- Individual Development Plans – templates that will be used by the applicant

All appendix materials will need to be in PDF format. If you plan to attach print materials (brochures, handbooks, etc.) you should prepare those documents to be uploaded well before the application deadline.

## Appendix A: Cost and Expense Guidelines

### 1. 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](http://grants.nih.gov/grants/policy/person_months_faqs.htm)
  - NIH Calculation Scheme: [http://grants.nih.gov/grants/policy/person\\_months\\_conversion\\_chart.xls](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.

### 2. Student Tuition Fees, Graduate Student Stipends

- For non-fellowship awards: Graduate students may be paid as personnel and may also receive tuition remission. Tuition remission, however, will be considered compensation. The total compensation (salary plus fringe benefits plus tuition listed in this category) may not exceed \$30,000 per project year. A maximum of \$16,000 per year is allowed for the combined costs of tuition/enrollment fee remission, fringe benefits, and health insurance. Stipend may be budgeted as salary (and included in the MTDC cost calculation) if the institution pays these expenses through a personnel line item.

### 3. Other Project 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 with certification of the following: 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)

- For all Awards, each requested equipment item must be >\$5,000 and explained in the budget justification.

#### 5. Travel

*See the Award Overview for allowable expenses for each SVFSI award type.*

- **Travel – TRDRP 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. All other applicants, including fellowship applicants, should budget a one-time \$750 expense under year 1 in a travel budget line labeled: "Travel - TRDRP 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. Service Contracts and Consultants

- Both categories require additional description (Budget Justification).

#### 7. Subcontracts

- 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.
- In the case of University of California applicants, subcontracts need to be categorized and broken out as one of two types, University of California-to-University of California (UC to UC) sub agreements or transfers; or, Other. A subcontract is not allowed to have another subcontract. Requires additional description (Budget Justification).

## 8. 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 30% MTDC (26% for off-campus projects).
- **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 B: Other Application-Related Policies, Pre & Post Award Requirements

### Submission Process

Submission of a Letter of Intent (LOI) is required to apply for all award types. The LOI must be submitted electronically. LOI submission instructions should be strictly followed as stated. LOIs will be programmatically reviewed to ensure eligibility after the August 26, 2021 deadline and applicants will be notified whether they are eligible to submit a full application on September 2, 2021.

All applicants should review the Call for Applications, LOI Instructions, and Application Instructions in their entirety, and must complete all necessary materials using the appropriate templates and forms. Failure to comply with provided instructions or submission of incomplete forms may result in administrative rejection of the application.

### Review Process and Funding Decisions

Applications will be grouped by priority area and undergo peer-review by experts from outside of California. The criteria for evaluating applications are described under each specific award type section. TRDRP and its Scientific Advisory Committee will prioritize funding scientifically meritorious applications that are well-aligned with the priority areas described in this Call for Applications, that provide a balance across these priorities, and that are within the extent of funding that is available.

For more information about the funding process visit the [TRDRP website](https://trdrp.org/funding-opportunities/review-process/index.html) (trdrp.org/funding-opportunities/review-process/index.html).

### Resubmission Policy

A resubmission is an unfunded application that was submitted to TRDRP as a new application in the previous cycle (i.e. 2020) and resubmitted under the current Call for Applications (i.e. 2022). TRDRP will accept only a single resubmission of the same or very similar project, regardless of change in application title. Resubmissions are only allowed once and must be submitted in the subsequent Call for Applications. *Note the different resubmission criteria in the CPPRA RFP.*

Applicants are still required to inform TRDRP of their intent to resubmit through an LOI submission, and must note it as a resubmission (please refer to the LOI/Application instructions for the specific award type). All other applications are considered new applications.

### Multiple Submissions Policy

Researchers can submit more than one application, provided that the proposed research topics and aims are significantly different for each LOI/application.

### **TRDRP Eligibility Criteria**

Investigators from California not-for-profit organizations are eligible for TRDRP funding, including but not limited to colleges, universities, hospitals, laboratories, research institutions, local health departments, community-based organizations, voluntary health agencies, health maintenance organizations and tobacco control organizations. The sponsoring institution, in accordance with its own policies and procedures, should designate the principal investigator (PI). The PI must supervise the research project and any trainees directly and in person. U.S. citizenship is not a requirement for eligibility.

In accordance with UC policy (<https://policy.ucop.edu/doc/2500500/ReqSubmitProp-Awar>), PIs who are UC employees and receive any part of their salary through UC must submit grant proposals through their UC campus contracts and grants office. Exceptions must be approved by the UC campus where the PI is employed.

### **Applicants at California-based Nonprofit Institutions**

TRDRP will accept applications from PIs at non-profit organizations or institutions, provided that the organization can manage the grant and demonstrate sound financial stewardship. The organization must also meet our liability insurance requirements. If the application is recommended for funding, the centralized business units within the Research Grants Program Office (RGPO) will collect additional information, such as tax ID numbers and financial reports, to review the organization during the pre-funding process to ensure all financial management and project management eligibility criteria can be met.

### **Condition of Award for UC Faculty on payroll at a non-UC entity**

In accord with University of California policy, investigators who are University employees and who receive any part of their salary through the University must submit grant proposals through their campus contracts and grants office (“Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University”, Office of the President, December 15, 1994). Exceptions must be approved by the UC campus where the investigator is employed.

### **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.

### **Appeals of Funding Decisions:**

An appeal regarding the funding decision of a grant application may be made only on the basis of an alleged error in, or deviation from, a stated procedure (e.g., undeclared reviewer conflict of interest or mishandling of an application). The period open for the appeal process is within 30 days of receipt of the application evaluation from the Program office. Before submitting appeals, applicants are encouraged to talk about their concerns informally with the appropriate program officer or the TRDRP program director.

Final decisions on application funding appeals will be made by the vice president of Research and Innovation, University of California, Office of the President. Applicants who disagree with the scientific review evaluation are invited to submit revised applications in a subsequent grant cycle with a detailed response to the review.

The full appeals policy can be found in the online the University of California, Office of the President, “RGPO Grant Administration Manual – Section 5: Dispute Resolution”:

[https://www.ucop.edu/research-grants-program/\\_files/documents/srp\\_forms/srp\\_gam.pdf](https://www.ucop.edu/research-grants-program/_files/documents/srp_forms/srp_gam.pdf)

### **Pre-Funding Requirements**

Upon request, awardees must supply the following information or documents:

1. Supply approved indirect (F&A) rate agreements as of the grant’s start date and any derived budget calculations.
2. Supply any missing application forms or materials, including detailed budgets and justifications for any subcontract(s).
3. IRB or IACUC applications or approvals pertaining to the award.
4. Resolution of any scientific overlap issues with other grants or pending applications.
5. Resolution of any Review Committee and Program recommendations, including specific aims, award budget, or duration.
6. Modify the title and lay abstract, if requested.

### **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 which went into effect on April 22, 2014. 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. The full policy is available here:

<https://www.ucop.edu/research-grants-program/grant-administration/rgpo-open-access-policy.html>

### **Grant Management Procedures and Policies**

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](http://www.ucop.edu/research-grants-program/files/documents/srp_forms/srp_gam.pdf)