

## 2023 Tobacco Policy Research Center (TPRC) Award

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## Key Dates

November 15, 2022	2023 Tobacco Policy Research Center (TPRC) Call Release
December 5, 2022	Webinar for Potential Applicants – 1:00pm PT ( <a href="#">click to register</a> )
December 15, 2022	Letter of Intent Deadline (Rolling Review and Approval)
December 16, 2022	Invitation to Full Application Announced (Latest Date)
February 23, 2023	Applications due 12:00 noon PT
May 2023	Notification of Review Outcome
August 1, 2023	Award Start Date

## Award Purpose

The Tobacco Policy Research Center (TPRC) Award supports single Principal Investigator (PI), multi-disciplinary collaborative policy research centers working in partnership with advocates, community members, policymakers and other key stakeholders. Funded Centers will identify commercial tobacco policy research needs, respond to them, and disseminate policy research that directly addresses local and state tobacco policy issues and their potential bi-directional impact on national policy. The research conducted by the Center should include plans for informing policies that reduce tobacco health disparities and help build capacity in research and community advocacy.

## Award Mechanism

This four-year initiative will fund collaborative research centers with leadership comprised of one experienced academic researcher (PI, mid- to senior level faculty or staff with PI status at a California-based research institution with demonstrated expertise in tobacco policy research and dissemination) and an experienced community/advocacy organization leader (Co-Investigator, e.g., at an organization with demonstrated organizational tobacco policy priority and/or policy expertise). The two entities should have a track record of demonstrated successful prior collaboration. TRDRP also encourages leadership involvement of at least one emerging academic researcher (e.g., assistant professor level or higher with preliminary work or evidence of interest in tobacco policy). One of the entities must have proven direct access to and/or a history of working with the under-resourced area of California where most of the Center's activity is proposed. Other community-based organizations, health voluntaries as well as other policy and policy-relevant research expertise to respond quickly to tobacco policy questions that address current and future impact of commercial tobacco on communities – particularly under-resourced communities – should also be included in the Centers as affiliated members (see Key Components and Requirements section, p.3). The affiliated members should be able to respond to a wide range of tobacco policy topics (identified through the Center's Rapid Response mechanism) and to participate in one or more Center core activities including input gathering, data dissemination, the TPRC Pilot Award process, and other training and mentorship activities.

The award supports project-specific costs for rapid response research under a given research theme and infrastructure costs that support collaborative administration, training and research capacity building – including Pilot awards (see Key Components and Requirements section – Center Cores, p.4). Award budgets must also include support for community engagement and

dissemination efforts. The rapid response mechanism should be able to address a wide range of local policy needs as well as more broader ones for California.

The TPRC awards are intended to encourage policy research that addresses important and timely research questions and strengthen local and state-level policy and its bi-directional influence on national policy. To meet the challenges of a changing tobacco policy environment and the needs of priority populations and under-resourced areas of California, TRDRP invites applications for the Tobacco Policy Research Center Awards focused on the following TRDRP priority topics (one or more):

- Downstream effects from California’s changing tobacco control policy landscape
- Menthol and flavored tobacco regulation and implementation
- Restriction of tobacco product availability in retail locations
- Countering tobacco industry marketing and influence
- Reduction of tobacco product waste and protecting the environment through policymaking
- Translation of third hand smoke research into policy<sup>1</sup>
- Policies strengthening the availability of (community-level) cessation resources<sup>2</sup>
- Protection of youth from tobacco and cannabis exposure
- Tobacco policy interactions with cannabis policy
- Protection of nonsmokers from secondhand nicotine or cannabis smoke or aerosol
- Activities directly relating to the California Endgame Initiative<sup>3</sup>

This list is not exhaustive, and applicants may submit proposals that address other pertinent local policy topics for the Center’s communities of focus. Centers are encouraged to include plans for addressing the specific policy needs of priority populations, and communities in under-resourced areas in California.

TRDRP encourages TPRC collaborations with the TRDRP Smoke- and Vape-Free Scholars Initiative (SVFSI). More information about the Initiative and current SVFSI grantees can be found at: [Link to SVFSI resources](#) and [Link to SVFSI grantees list](#). Please also see the footnotes below for other TRDRP Initiatives of interest.

## Key Components and Requirements

TRDRP intends to fund up to three Tobacco Policy Research Centers. Although not exclusively, rapid response research projects and Center activities should be focused on results and policy recommendations at the local community level with the potential to also impact state and national level policies, short-term and long-term. Funding would be for a four-year period for each Center and each Center must have the following required elements:

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<sup>1</sup> More information about the TRDRP-funded Collaborative Consortium on Thirdhand Smoke can be found at: [Link to TRDRP Thirdhand Smoke Consortium Article](#) and [Link to Thirdhand Smoke Resource Center](#)

<sup>2</sup> TRDRP Community-Partnered Participatory Research Awards (CPPRA): [Link to TRDRP CPPRA information](#) and a map with information on TRDRP Special Initiative grantees: [Special Initiative Map](#)

<sup>3</sup> TRDRP California commercial tobacco Endgame resources: [Link to Endgame Resources](#)

## Center Mission and Goals

Centers are expected to identify a mission statement and theme reflecting one or more TRDRP priority or other chosen policy topics, with policy and research goals that are achievable and actionable via a Rapid Response mechanism during a total of 4 years. During the project period, any issue or problem identified within this mission statement should be assessed and refined through Center self-evaluation and quality improvement.

## Center Cores

All Centers are expected to have the following four Cores within its infrastructure. As long as all outlined functions are present, Cores can collaborate with each other in different configurations than specified below, in ways that will build infrastructure synergies and maximize the effectiveness of a Center. Centers should clearly justify their Center Cores and activities, including the collaborative partnership structure of the Center (see Center Partnership Structure section, p.7) between all partnering entities, including affiliated members, in the appropriate sections of their TPRC Award Program Plan (see templates, p.14).

**Administration.** The Administrative Core will provide oversight and infrastructure support for research and dissemination activities. The administrative core will coordinate communication and provide logistical support for the Center leadership.

The assessment of progress of each funded Center's mission and goals should also be a function of the Administrative Core. As such, each Center will be expected to develop its own quality improvement and self-assessment strategies to understand how the Center was able to achieve its goals and what barriers challenged this achievement.

**Rapid Response Project Support and Implementation.** The Project Support and Implementation Core should manage the implementation of the rapid response policy research studies conducted within the Center including providing statistical and other research design support, if needed.

The Rapid Response mechanism to receive important and time-sensitive policy research needs, conduct the research in a timely manner, and disseminate the results in a useful format to key stakeholders and policymakers, is a critical component of the TPRC award. Applicants are required to propose a mechanism that will support rapid response research to address emerging tobacco policy questions continuously throughout the four-year grant period. A rapid response mechanism should be responsive to policy questions that require analysis in a two-week to six-month window. Although journal publications might not be the primary product, TRDRP encourages Centers to plan for additional time to allow for publication of selected projects and results in peer-reviewed journals. The identification and formulation of emerging policy research questions should be conducted in collaboration with the Center's community partners and with larger community input. The rapid response mechanism should be able to address a wide range of local policy needs as well as more broader ones for California.

To allow for maximum responsiveness to any emergent policy needs, at the application stage TRDRP only requires applicant Centers to propose more detailed rapid response projects in

support of the Center's mission for the first two years of the funding period. The projects should be strongly justified, based on scientific literature and current policy relevance. The proposed projects should achieve or advance work towards achieving high impact within one or more stated TRDRP priority or other relevant policy topics (see list in Award Mechanism section, p.3). Proposals should include sound background information, hypotheses and promising preliminary or supporting data.

In collaboration with the Center's Scientific Advisory Committee (SAC), the Community Advisory Board (CAB) and the Policy Strategist (see the Center Partnership Structure section, p.7), the Center Leadership will determine rapid response projects to be undertaken during Years 3 and 4 of the award, depending on the then current tobacco policy research needs. Given the chosen Center theme, Centers will propose and implement a mechanism to consult with their stakeholders and oversight bodies (e.g., required CAB, SAC, Policy Strategist(s)) to determine and obtain their approval for projects to be undertaken during the second half of the funding period. Projects for Years 3 and 4 do not need to be described at the time of full application submission.

Investigators or teams that apply should demonstrate their commitment to the following:

- Applying a transdisciplinary approach to issues such that the tools, methods and conceptual frameworks of different fields are leveraged to achieve new knowledge;
- Working with community groups to develop effective translation and dissemination plans for the data generated in the research project;
- Completing the research at a rapid pace, recognizing that there are decision-making cycles (such as the legislative cycle) that the research needs to be responsive to;
- Sharing findings with community members and in lay documents before and possibly in lieu of publishing in peer-reviewed journals;
- Being flexible in determining how to answer the research needs and work cooperatively with stakeholders to ensure that the methodology will result in findings that meet the needs of the community.

**Community Input and Dissemination.** It is expected and required that the Center will integrate partners from academic institutions, community and advocacy organizations and health voluntaries through its Community Input and Dissemination Core. Close collaborative partnerships between Center members are essential for the success and impact of policy research at the local level as well as state and national tobacco policy. The Center must also describe its expertise, access to communities or catchment areas, reach to priority populations and to under-resourced areas of California.

Applicants must propose strategies and activities for the timely input on research topics and when research is done, dissemination among Center stakeholders and others throughout California. The extent of community input and dissemination should take into account the specific needs and relevant delivery mechanisms for engagement for the Center's stakeholders and consultants. At minimum, there should be a process to collect input from Center members, participating organizations, other key community/advocacy organizations within the catchment

area of the community(ies) of focus, and local community members for input on policy priorities that may be addressed through the Rapid Response mechanism. Processes to disseminate existing information about tobacco-related policies and other issues affecting their communities must also be described.

Funded Centers will be expected and responsible for disseminating findings and policy recommendations in a timely manner to their catchment communities, policymakers, SAC/CAB, TRDRP, and other key stakeholders (i.e., Tobacco Education and Research Oversight Committee, California Departments of Public Health and Education, local education agencies and local incentive awardees) with customized messaging through appropriate communication and dissemination methods. Communication methods include, but are not limited to, policy briefs, hearings and white papers, webinars, public forums, websites and traditional and social media including policy blogs. Policy findings and recommendations should be disseminated with appropriate caveats and practical applications for the various stakeholder group needs and uses for the results.

**Training, Capacity Building and TPRC Pilots.** Tackling the complex issues that will lead to tobacco policy requires a diverse, well-trained scientific workforce. Training and mentoring opportunities for emerging researchers are required in the Centers. Centers are also encouraged to find opportunities for post-doctoral fellows and emerging researchers new to tobacco control policy research science that are complementary to the overall mission and goals of the Center. The Center may offer opportunities to community members/advocates who may want to participate in research or learn research fundamentals to assess the needs in their communities or measure impact of their own tobacco-related programs. Opportunities may include seminars, workshops, and/or other activities that promote the recruitment, advancement, and retention of investigators and advocates in tobacco-related policy research.

To create opportunities for post-doctoral fellows and researchers new to tobacco control policy, the TPRC Award also supports up to three Pilot awards per Center. Applications from those from underserved communities are encouraged. These Pilot awards will be competed by the Centers, including the selection of grantees and disbursement of funds. Centers will send information about the selected Pilot awardees and their projects to TRDRP for final approval prior to disbursement of funds.

Centers will be able to disburse a max. total of \$150,000 for three 1-year Pilot awards (\$50,000 per Pilot) for postdoctoral scholars or emerging faculty or newer research scientists interested in tobacco policy research. Centers will propose and implement their own internal grant review process for these Pilot awards. Involvement of the Center's SAC, CAB and Policy Strategist in the proposal selection process (see Center Partnership Structure section, p.7) is encouraged. TRDRP will programmatically evaluate each selected Pilot proposal. Pilot awards can have flexible award start dates, but their 12-month end date should be at least 6 months before the end date of the Tobacco Policy Research Center Award. Centers can make the Pilot funds available for applicants outside the institution where the TPRC is housed. This possibility is available but not mandatory, depending on a Center's infrastructure.

## Center Partnership Structure

**TPRC Leadership.** The TPRC Leadership should be comprised of one experienced academic researcher (PI, mid to senior level at a California-based research institution with demonstrated expertise in tobacco policy research and dissemination) and an experienced community/advocacy organization leader (Co-I, e.g., at an organization with demonstrated organizational tobacco policy priority and/or policy expertise). The two entities should have a track record of demonstrated successful prior collaboration. TRDRP also encourages leadership involvement of at least one emerging academic researcher (e.g., assistant professor level or higher with preliminary work or evidence of interest in tobacco policy).

The PI will serve as the prime grantee with sub-awards to each collaborating institution. The Center partners are expected to develop a shared collaborative agreement (see also Collaborative Agreement section of the Award Plan template, p.14) that details decision making steps and authority as it relates to all aspects of the Center activities and maintaining close communication and engagement. One of the entities must have proven direct access to and/or a history of working with the under-resourced area of California where most of the Center's activity is proposed. If the institution housing the Center is not in geographic proximity to a community it will collaborate with, please explain in the application how such challenges will be addressed and overcome.

**Scientific Advisory Committee.** Further, a TPRC is required to establish a Scientific Advisory Committee (SAC) that will include, at minimum, three researchers with policy expertise, and researchers from other disciplines that are complimentary to the Center theme. The role of the SAC will be to provide scientific guidance to the Centers, identify and troubleshoot challenges, alert Centers to changes in California tobacco policies and assist in wide-spread dissemination and publicizing of Centers' achievements. The SAC will also be heavily involved in advising the Center on Rapid Response projects to be undertaken during Years 3 and 4 of the award. Information about already recruited SAC members and plans to recruit SAC members should be included in the TPRC Structure and Theme section of the Award Plan (see Award Plan template, p.14). Letters of Collaboration are encouraged.

**Community Advisory Board.** A TPRC is required to additionally establish a Community Advisory Board (CAB) consisting of a minimum of three representatives of the community(ies) a Center intends to collaborate with. Individuals should have expertise in tobacco control policy advocacy and/or other areas relevant to Center projects. The CAB will provide feedback on the form and structure of the Center's communication and collaboration with its community level partners. Similarly to the SAC, the CAB will also be heavily involved in advising the Center on Rapid Response projects to be undertaken during Years 3 and 4 of the award. Information about already recruited CAB members and plans to recruit CAB members should be included in the TPRC Structure and Theme section of the Award Plan (see Award Plan template, p.14). Letters of Collaboration are encouraged. As part of the Collaborative Agreement of the Award Plan, please also describe how the SAC and CAB will be interacting, and what their decision process will be in case of conflicting feedback or recommendations.

**Policy Strategist.** Each TPRC is also required to include and budget for team members that will facilitate policy creation, i.e., at least one experienced Policy Strategist per Center with Tobacco-Related Disease Research Program

experience informing or creating policy should be listed on the application (TPRC Structure and Theme section of the Award Plan - see Award Plan template, p.14).

**Planning Phase.** To ensure that Centers will be effective, and their methods are feasible, each Center should incorporate a Planning Phase equivalent to the first three to six months of the project period, when Centers must finalize and implement their Rapid Response mechanism and their Center Partnership Structure, if not available at the time of full application submission. Centers should be ready to share their Center structure and Rapid Response plans with TRDRP and their TRDRP Program Officer and be open to recommendations from the Program.

### **Demonstrated Multi-sectoral Expertise**

Multi-sectoral collaborations that engage diverse stakeholders that are impacted by tobacco policy and tobacco industry influences will increase the relevance of the research conducted within the Centers, the potential for implementation of research outcomes, and serve as a resource for the larger communities in California. The range of disciplines and expertise in tobacco control policy and research of Center leadership, affiliated researchers, advocates, and policy strategists, should be aligned with the Center theme and reflect the ability to address emergent tobacco policy needs identified through the Rapid Response mechanism. Multidisciplinary and varying research methodologists, community organizations and advocates that represent the Center's community(ies) of focus, government relations, health voluntaries and other policy and/or regulatory strategists with knowledge of the tobacco industry tactics, and communications experts that can assist in message development and dissemination should be represented in the Center.

### **Award Overview**

**Anticipated start date:** August 1, 2023

**Maximum award amount:** \$3,000,000 (total direct cost cap) or \$750,000 (total direct cost cap per year)

**Maximum duration:** 4 years

**Allowable direct costs:** Salaries, fringe benefits, supplies, equipment, subcontracts\*, project-related travel, TPRC Pilot awards.

**Project-related travel:** As needed (must be fully justified).

**Scientific conference travel:** maximum of \$2,000 per year for the PI (excluding a mandatory allocation of \$750 in year 1 of the project for travel to the TRDRP conference).

\*All out-of-state subcontracts, collaborations, and expenditures must be well-justified; please note that funding for out-of-state expenses is extremely limited and TRDRP does not encourage such expenses.

**Indirect costs:** 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 (25% for off-campus projects). Indirect costs are not allowed for TPRC Pilot awards.

**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.

### **Eligibility**

The Principal Investigator must have an appointment and principal investigator status at a California research institution and must commit to the TRDRP project a minimum of 1.2 person-months (10%) of effort for a 12-month appointment or equivalent effort for each of the project years. Other experts or institution(s) may participate through subcontract(s). The community/advocacy organization partner must have a leadership or Director-level appointment and the institution must be based in California.

U.S. citizenship is not a requirement for eligibility.

### **Review Criteria**

This is an open competition and grant applications will be peer-reviewed according to the following criteria:

#### **Criteria Set-1: (40% scoring weight) Infrastructure and Impact**

**Responsiveness to intent of the award type:** Given the Center theme and structure of cores, does the application propose activities aimed at forming a collaborative center with multi-disciplinary teams of researchers working in partnership with advocates, community members, policymakers and other key stakeholders? Are the structure of the Center and communication strategies among the members likely to identify policy research needs, respond to them, and disseminate policy research that addresses local and state tobacco policy issues and their potential bi-directional relationship with national policy? Does the applicant describe how the Rapid Response mechanism will lead to the Center's ability to inform California tobacco policy? Is the functional capacity of the Center's Cores clearly described?

**Expertise:** Are the investigators well-suited and meet the eligibility criteria to carry out this work? Is the work proposed appropriate to the experience levels of the Center leadership and other affiliated members? Does the investigative team bring complementary and integrated expertise to the project? Do the investigators demonstrate access to the Center's community(ies) of focus?

**Collaboration:** Are procedures identified to establish or strengthen collaborative partnerships during the planning phase? How feasible and effective will the Collaborative Agreement be to implement Center cores and the Center's proposed mission and goals? Are researchers, advocates, and other stakeholders prepared to work together for an extended period of time?

**Potential for the proposed work to inform policy:** To what extent can the funders expect the proposed Center's mission and goals to be actionable and achievable within the project period to produce short-term and long-term impact on the specific local and state tobacco policy focus in California? To what extent can the proposed Center be expected to contribute to actionable policy recommendations that reduce tobacco health disparities and help build research and community capacity in under-resourced areas of California?

#### **Criteria Set-2: (30% scoring weight) Rapid Response Research and Mechanism Quality**

**Rapid Response research projects:** To what extent are the proposed Rapid Response research projects for Years 1 and 2 related to and conceptually integrated into the policy focus of the Tobacco-Related Disease Research Program

Center? Are the conceptual framework, design (including composition of study population and strength of recruitment plan, if applicable), methods, and analyses adequately developed, well integrated, well-reasoned, and appropriate to the mission, goals and aims of the project? Does the applicant acknowledge potential problem areas and consider alternative strategies? Are the sample sizes identified adequate to answer proposed research question(s)? If applicable, is there a power analysis and is it appropriate to the study design? Are the variables clearly identified and testable?

**Rapid Response mechanism:** Will the Rapid Response Project Support and Implementation Core provide adequate infrastructure to support all research activities throughout the entire funding period? Has the team included appropriate affiliated investigators, advocates and policy strategists in the Center to address diverse policy topics that may be provided through Rapid Response? Does the team have a feasible plan in place to respond quickly to research topics in their area? Does the team have the facilities and resources (e.g., demonstrated immediate access to relevant datasets and sufficient research personnel to be allocated in a timely way) available to carry out their response plan? Will the plan produce rigorous research quickly (6 months or less) from the project start to dissemination of the findings? Will the Community Input and Dissemination Core provide appropriate communications of research findings to Center constituencies?

### **Criteria Set-3: (30% Scoring weight) Community, Dissemination, and Training**

**Community input and dissemination plan:** Does the applicant propose a sound approach to engaging communities affected by tobacco use in either a collaborative partnership or by proactively informing the Center's community(ies) of focus and other groups about the nature and significance of the research and research outcomes? To what extent does the dissemination of relevant results of funded research include channels and tools targeting tobacco control advocates, policymakers, and the general public? Will the proposed collaborative relationship and communication pathways empower advocates and community members to be engaged in the identification of policy topics and offering suggestions for dissemination avenues?

**Training and pilot award component:** Is there a clear plan for the training and mentoring opportunities the Center will provide for emerging researchers, including for any post-doctoral or emerging faculty or newer research scientists who are new to tobacco policy research? Is the process to review Pilot applications, select grantees and disburse funds well-described and feasible? Are there any proposed community-based training, seminars, or other activities that will be conducted to increase awareness of and the tools used to inform tobacco-related policy research?

### **Additional Review Criteria**

Reviewers will evaluate the following additional items while determining scientific and technical merit, and in providing an overall impact score, but will not give separate scores for these items.

#### **Budget**

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

#### **Protection of Human Subjects from Research Risk**

Rapid response policy research can be a challenge when a timely IRB review is required. If appropriate, applicants should describe how they would seek human subject approval. If human subjects are involved, protections from research risk relating to their participation in the proposed research will be assessed.

### **Inclusion of Women, Minorities and Children in Research**

If human subjects are involved, the adequacy of plans to include subjects of all genders, all racial and ethnic groups (and subgroups), and children as appropriate for the scientific goals of the research will be assessed. Plans for the recruitment and retention of subjects will also be evaluated.

### **Contact Information for Inquiries**

Maggie Kulik, Ph.D.

Program Officer for State and Local Policy

Tobacco-Related Disease Research Program

University of California, Office of the President

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## **Application Procedures**

Applicants who wish to apply for a Tobacco Policy Research Center Award must use the University of California Office of the President (UCOP) Research Grants Program Office (RGPO) SmartSimple grants management system, <https://rgpogrants.ucop.edu/>.

Please review the “[SmartSimple TRDRP TPRC 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.

## **Letter of Intent Instructions**

Applicants must submit a letter of intent (LOI) using the SmartSimple grants management system, <https://rgpogrants.ucop.edu/>. 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: (up to 2400 characters, approximately 350 words).** Use the following guidance to complete the lay abstract:

Briefly and generally describe the proposed Tobacco Policy Research Center using an organizing theme that is focused on California’s tobacco control policy issues, and how the Center’s mission and goals will inform California’s local and state tobacco policy. Describe the organizational structure of the Center for the entire award period (Cores, Leadership, Scientific Advisory Committee, Community Advisory Board, policy strategist roles), briefly mentioning the Rapid Response policy projects *potentially* planned for the first two years of the award.

**Specific Aims: (up to 2,400 characters, approximately 350 words).** Briefly describe the specific goals and aims of the proposed Tobacco Policy Research Center.

**Tobacco Relatedness Description: (up to 1,000 characters, approximately 145 words).**

Please describe how your project is advancing tobacco-related science, practice, or public policy for California. To what extent does the application focus on state and local tobacco policy research in particular?

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.

### **Full Application Instructions**

The Tobacco Policy Research Center (TPRC) Awards may only have one Principal Investigator. TPRC members and affiliate members may be included as Project Personnel on the TPRC grant or as sub-contracts to the TPRC grant.

The application for a Tobacco Policy Research Center Award includes the following main sections, which are described in detail next: ‘Project Information’, ‘Project Contacts’, ‘Budget’, and ‘Documentation’.

## **PROJECT INFORMATION**

**Lay Abstract: (up to 2,400 characters, approximately 350 words, pre-populated from the LOI stage).** The lay abstract will become public information, if funded.

Briefly and generally describe the proposed Tobacco Policy Research Center using an organizing theme that is focused on California’s tobacco control policy issues, and how the Center’s mission and goals will inform California’s local and state tobacco policy. Describe the organizational structure of the Center for the entire award period (Cores, Leadership, Scientific Advisory Committee, Community Advisory Board, policy strategist roles), briefly mentioning the Rapid Response policy projects planned for the first two years of the award.

**Specific Aims: (up to 2,400 characters, approximately 350 words, pre-populated from the LOI stage).**

Briefly describe the specific goals and aims of the proposed Tobacco Policy Research Center.

**Tobacco-relatedness description: (up to 1,000 characters, approximately 145 words, pre-populated from the LOI stage).**

Please describe how your project is advancing tobacco-related science, practice, or public policy for California. To what extent does the application focus on state and local tobacco policy research in particular?

### **TRDRP Research Priorities**

Please choose one or more research priorities reflecting the types of Rapid Response policy

research projects the Center will conduct.

**Milestones and Timetable**

Use this section to provide your timeline for implementing your Center’s infrastructure; your Center’s planned activities including, but not limited to, Rapid Response (RR) projects and the RR selection process for Years 3 and 4; Pilot award selection and implementation; dissemination activities; recurring Center evaluation.

**PROJECT CONTACTS**

**Project Personnel**

List the PI and any additional (leadership) Co-Is and key administrative personnel.

For each person listed, provide a biographical sketch using the template provided. The biographical sketches should highlight prior experience and/or special expertise with each of the roles crucial to the Center’s leadership, administration and necessary for effective policy research.

**BUDGET**

Provide all budget information requested in the budget section of the application. Allowable costs for TPRC Awards under this Call for Applications are described above (see Key Components and Requirements, Award Overview section above).

**TPRC Award Budget**

The PI will have a budget as prime grantee on the funded TPRC Award. The PI can complete the budget for any subcontracting organization(s)/institution(s).

**DOCUMENTATION**

The Documentation Table lists the required documents for this 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, if applicable). Template instructions can be found in the Detailed Description of each Proposal Document section below.

**Documentation Table**

<b>Required Documents</b>	<b>Page limit</b>	<b>Template provided</b>	<b>Upload / Appendix</b>
<b>TPRC Biosketch (All Personnel listed in Project Personnel Section)</b>	5 (for each biosketch)	yes	Upload

<b>TPRC Award Program Plan</b>	15 (excluding references)	yes	Upload
<b>Institutional Commitment Letter</b>	2	no	Upload
<b>Facilities</b>	1	yes	Upload
<b>Human Subjects Accrual Template<sup>4</sup></b>	-	yes	Upload
<b>Vertebrate Animals Template<sup>5</sup></b>	-	yes	Upload
<b>Appendix list and appended material</b>	30	yes (Appendix List)	Upload

### Detailed Description of each Proposal Document

#### SVFSI BIOGRAPHICAL SKETCH (Page limit: 5 for each biosketch)

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

1. Personal Statement
2. Positions and Honors
3. Contributions to Science (or other experience relevant to your role at the TPRC)

#### TPRC AWARD (PROGRAM) PLAN (Page limit: 15, excluding references)

Use the TPRC Award (Program) Plan template to describe your program, addressing the 4 areas listed below and upload it under “Program Plan”. The page limit for the Award Plan is 15 (excluding references). The limits for sections 1 and 2 are more flexible and can exceed the 5-page limit for each (not more than 6 pages), as long as the overall 15-page limit is observed.

#### 1. Tobacco Policy Research Center (TPRC) Structure and Theme (5-6 page maximum)

Given the Center theme, describe the structure and capacity of each of the Center Cores (Administration; Rapid Response Project Support and Implementation; Community Input and Dissemination; and Training, Capacity-Building and TPRC Pilots). Clearly justify the Center Cores and their activities, especially if your Center’s Cores might diverge from the Cores as described in this Call. Given a chosen TPRC theme, please describe how collaborations will be established between the various participating organizations and how the collaboration will facilitate the Center’s goals. Please also include information on your required Scientific Advisory Committee (SAC) Members, Community Advisory Board (CAB) Members and the Policy Strategist(s). Recruited members must be named with a description of their organizational affiliation and proposed (thematic) contribution and role. If using a TBD designation, please describe areas of expertise your team will seek to recruit during the Planning Phase of the project.

Please also include a description of the mechanism to identify Rapid Response projects,

<sup>4</sup> Even if not applicable, please check “no” in the template document and upload to SmartSimple.

<sup>5</sup> Even if not applicable, please check “no” in the template document and upload to SmartSimple.

especially for Years 3 and 4. Describe the rapid response research capacities of the participating entities, including personnel, infrastructure, and special resources, either in place or planned. Describe the substantive and complementary roles of each entity and partner in the Center to identify and implement rapid response studies. Describe how the rapid response mechanism will be used to inform California tobacco policy. Provide examples of how previous policy research from the participating institutions has impacted tobacco policy at the local, state, and/or federal level. Provide examples of the challenge of applying tobacco policy research to impact public policy and how those challenges were addressed.

## **2. Rapid Response (Research) Plan for Award Years 1 and 2 (5-6 page maximum)**

Fitting into the theme of the Center, please describe the Rapid Response research projects the Center plans to carry out in Years 1 and 2 of the award. Describe the conceptual framework, study design, methods (including sample size and power calculations, if applicable), and the analysis plan for the proposed Rapid Response projects. Describe the expected policy research output and plans for dissemination to different stakeholder groups. Describe your access to your community(ies) of focus. Please also describe how any problems that arise will be resolved or mitigated.

## **3. Training, Capacity Building and TPRC Pilot Awards (3-page maximum)**

Please outline the training and mentoring opportunities the Center will provide for emerging researchers, including for any post-doctoral scholars or emerging faculty or newer research scientists interested in tobacco policy research. Describe the process of how the Center will compete the Pilot awards including solicitation and review of applications, the selection of grantees and disbursement of funds.

Describe how communities affected by tobacco use will be engaged in the Center's activities and how the proposed communication pathways will empower advocates and community members to be engaged in the identification of policy topics and offering suggestions for dissemination avenues. Please also describe any proposed community-based training, seminars, or other activities that will be conducted to increase awareness of and use of tools to inform tobacco-related policy research.

## **4. Collaborative Agreement (2-page maximum)**

Please outline the Collaborative Agreement among the partner entities.

Center Communication Plan: Describe the frequency and modes of communication that will be utilized by the Leadership team and all partners to facilitate information gathering about program progress and arising issues.

Decision-Making Process: Develop and describe a team decision-making process that will be used to make decisions about any ongoing and unexpected issues or possible changes needed to the TPRC to ensure its continued success. Describe how you plan to consider multiple perspectives from Center Leadership and other partners and arrive at a consensus or majority decision. Describe how the TPRC-related decisions will be finalized.

Handling Disagreements: Describe the process you will go through to manage disagreements that might arise between the partners during the administration of the TPRC. Possible issues that may arise are administrative and budget issues as well as conflicting feedback or recommendations from different parties.

Plans for Turnover of Personnel: Describe how the turnover of personnel will be handled. Describe what steps will be taken to select a replacement for an individual responsible for any of the Leadership or Core functions, or any of the participating institutions, if needed. Given the collaborative nature of the TPRC, please keep in mind that the replacement of any of the administrative functions or participating entities will need to be approved by TRDRP.

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

## **5. Literature Cited**

If desired, you may choose to start this section on a new page. List relevant references. Each reference must include the title, names of all authors, book or journal, volume number, page numbers, and year of publication. The references should be limited to relevant and current literature. Be concise and select only those literature references pertinent to the proposed plan.

## **INSTITUTIONAL COMMITMENT (Page limit: 2)**

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

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

## **FACILITIES (Page limit: 1)**

*Fill out the “Facilities” template 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)**

*Fill out the “Appendix List” template, append required (e.g. Letters of Collaboration from each Subcontract, as applicable) and optional documents to it and upload under “Appendix”*

If there are no required documents to be included in the Appendix, you may include additional supplemental documents. The TPRC 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.

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: TPRC Cost and Expense Guidelines

This appendix is specific to the TPRC and supplants the general TRDRP 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 (annualized), 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.

### Student Tuition Fees, Graduate Student Stipends

For non-fellowship awards: Graduate students may be paid as personnel and may receive full tuition and fee remission (up to \$50,000) and compensation in line with the relevant collective bargaining agreement. Stipends may not exceed \$40,000 per project year. Stipend may be budgeted as salary (and included in the MTDC cost calculation) if the institution pays these expenses through a personnel line item. Tuition remission will be considered compensation and should not offset other financial aid. Undergraduate stipends and tuition and fee remission will be considered on a case-by-case basis.

### 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.

### Equipment (Unit Cost over \$5,000)

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

### Travel

**Travel – TRDRP Meeting:** TRDRP may organize an event requiring your travel to the Oakland area within the funded grant period. Funds of \$750 should be set aside for each PI attending the Tobacco-Related Disease Research Program

TRDRP-organized meeting, budgeting 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 year 1 of the project for travel to the TRDRP Conference under Travel - RGPO Meeting). The same limit applies to TPRC Pilot award recipients. Label such expenses as "Travel-Scientific Meetings" and explain in budget justification.

### **Service Contracts and Consultants**

If applicable, include additional descriptions for each in the Budget Justification.

### **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. If applicable, include additional descriptions for each in the Budget Justification.

### **Indirect (F&A) Costs**

**Indirect cost policy:** 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 (25% for off-campus projects). Indirect costs are not allowed for TPRC Pilot awards.

**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 25% 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 the TPRC. The LOI must be submitted electronically. LOI submission instructions should be strictly followed as stated. LOIs will be programmatically reviewed to ensure eligibility on a rolling basis until the December 15, 2022 deadline and applicants will be notified whether they are eligible to submit a full application on a rolling basis, and no later than December 16, 2022.

All applicants should review this 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 undergo peer-review by experts from outside of California. The criteria for evaluating applications are described in the Review Criteria section above. 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. 2022) and resubmitted under the current Call for Applications (i.e. 2023). 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.

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, 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.
7. Other Support information

### **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 UC Publication Management System, 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)