UNIVERSITY OF CALIFORNIA

SMARTSIMPLE FULL APPLICATION SUBMISSION INSTRUCTIONS
Climate Action – Seed and Matching Awards

Please review the Climate Action Seed and Matching Awards Request for Proposals carefully before applying. An approved Letter of Intent (LOI) is required to proceed with the Full Application.

Full Application Technical Submission Instructions (From Approved LOI to Full Application)

Application Submission Deadline:
Seed Award: April 6, 2023 at 12:00 p.m. (noon) Pacific Time
Matching Award: May 4, 2023 at 12:00 p.m. (noon) Pacific Time

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

Please consult with your institution's Sponsored Projects or Contracts & Grants office for campus submission requirements. You are responsible for verifying your campus-specific timelines for internal proposal review and approval in order to meet the SmartSimple submission deadline. **Note: Signatures will be collected electronically. You will submit the application electronically to your signing official who must review and submit the application through SmartSimple by the application deadline. Please plan submission timelines accordingly.**

Part A. Online Proposal Submission

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

For technical assistance with SmartSimple, please contact us using the contact information provided at the end of this document.

Part B. Overview of Proposal Submission Process

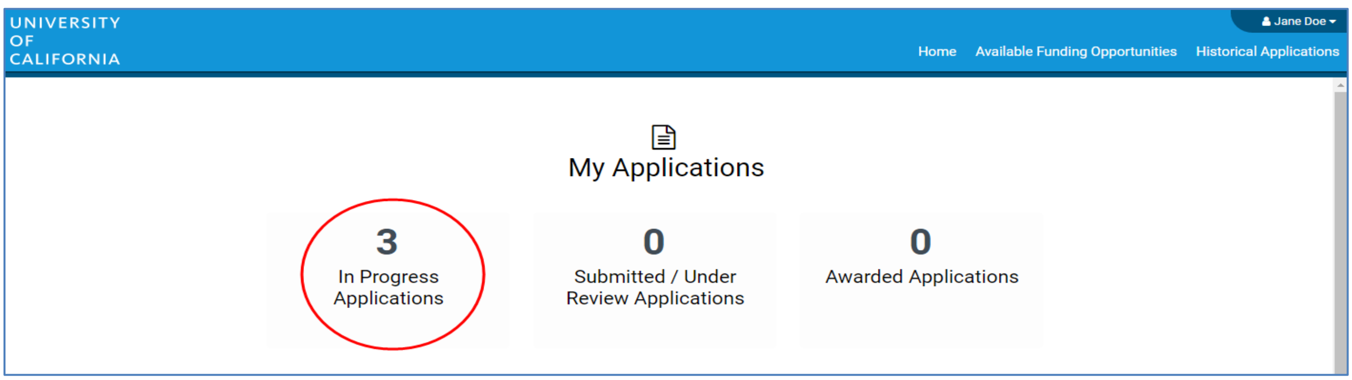
Prior to beginning your full application, your Letter of Intent (LOI) must be approved. Access to application forms will not be available to applicants until their LOI is approved. Upon LOI approval an email notification will be sent to the Applicant Principal Investigator (applicant), who will be able to log in to SmartSimple to begin the full application process.

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

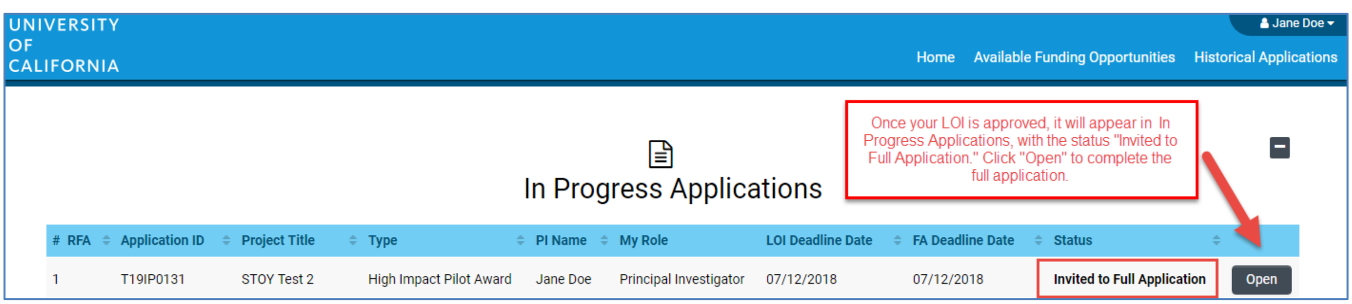
Step 1: Access SmartSimple: https://rgpogrants.ucop.edu to create and submit a Letter of Intent (LOI) by the LOI deadline. This step should have been completed.

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

1. By default you are on the **My Applications** Home screen. The page displays a count of all of your in progress, submitted, or awarded LOIs or applications.



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



3. You will have a chance to review and edit the information you submitted in your LOI by clicking through the LOI section headings. Once you have reviewed, click **"Continue to Full Application"** to move to the full application interface.
4. Complete each section of the application and submit by the deadline. Please see below for detailed descriptions of each section. At any time, you may save your work and access the application in later visits by clicking **"Open"** under **"In Progress Applications"** on the Home screen.

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

STEP 4: Electronic Submission to Signing Official. Once all of the online data forms are completed and all of the required proposal templates and documents are completed and uploaded, the proposal is ready for electronic submission to your institution's signing official. Click the **"Submit to Signing Official"** button. This will generate an email notification to your signing official to log in, review the application, and submit or send back to you for further revision. **Note: The signing official must submit the application prior to the application deadline. Please plan submission timelines accordingly. A user who is designated as both Principal Investigator and Signing Official will not be able to submit the application.**

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

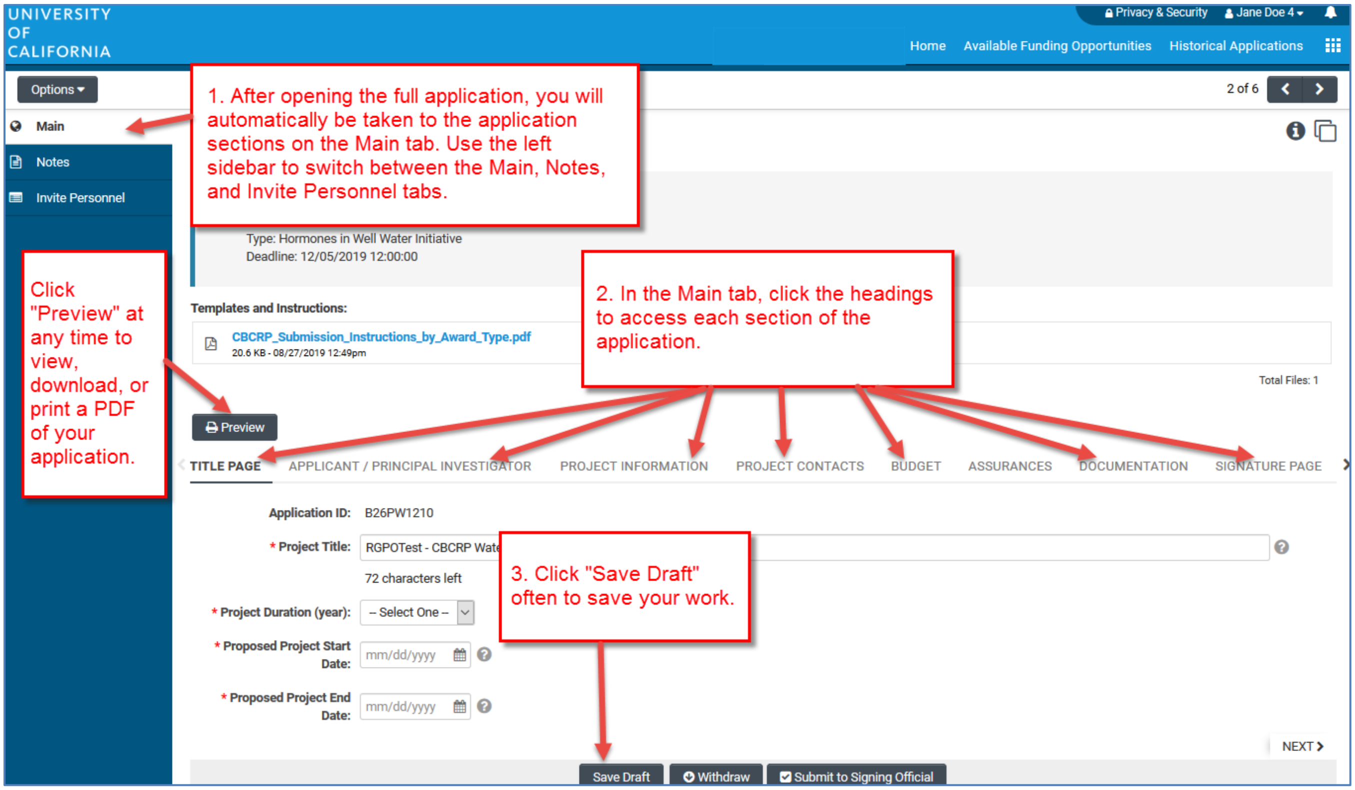
You may generate a PDF copy of the full proposal at any time by clicking the "**Preview**" button that appears at the top of each section of the application.

Part C: Detailed Description of Each Application Section

Instructions for how to complete all online data forms are below

Complete the online data forms in SmartSimple as described below. Please be sure to **save your work after each entry**. To avoid loss of data, we recommend that you save your work every 10 to 15 minutes. For security reasons, if your session is idle (i.e. if you don't press **"Save"** or click on a link to move to another page) for an extended period of time, you will be automatically logged off and any unsaved data will be lost.

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

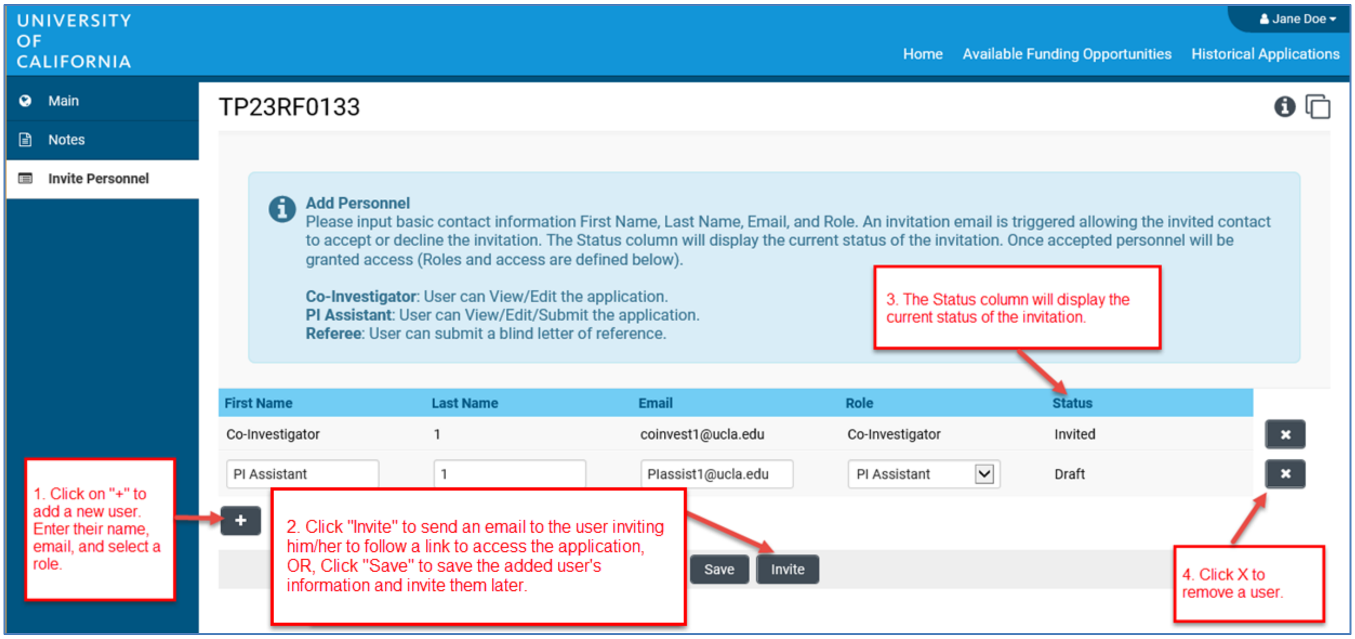


In addition to the Main and Notes tabs on the top left sidebar, you will see the **Invite Personnel** tab.

Invite Personnel: This section enables the Applicant PI to provide access to anyone by designating an access role that allows them to assist in preparation or submission. **The PI and the PI Assistant must be registered in SmartSimple under the same institution in order for the PI Assistant to access the budget.**

1. To provide access to a new user, click **"+"** and enter their name and email, and select a role.
    - **Co-Investigator:** Provides View/Edit access to the application.
    - **PI Assistant:** Provides View/Edit/Submit access the application. *The PI Assistant must have the same institutional affiliation as the Applicant PI.*

   NOTE: Academic/Research Collaborators and Community/End-User Partners who are requesting funds from the grant budget will gain edit access to the application at a later step when they are invited to the application in the budget subcontracts; see instructions in "Application Section 5: Budget" Therefore, only personnel assisting in the proposal completion who are not requesting budget need to be invited in this section.
2. Once you have added a user, click **"Save"** to save the user's information, and then click **"Invite"** to send an invitation email to the user. The invitee will receive an email invitation from the system with instructions to access the application.
3. Add additional users by clicking **"+"** and entering the users' information, repeating for all users. Once you have added all desired users, click **"Save"** to save the information in batch, or **"Invite"** to invite all users in batch. The Status column will display the current status of the invitation. Click the "**X**" button on the far right to remove a user.



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

Note about record being locked: The application can be accessed by one user at a time. If you are unable to edit your application, it is likely in use by another user. A message will appear at the bottom of the screen indicating that the application is currently locked. You will not be able to access the application until the first user closes their session.

Application Section 1: Title Page

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

- **Project Title**: Enter the project title here (100 characters or fewer including spaces).
- **Project Duration (Year)**: Using the drop-down menu, specify the number of years for which the project will occur.
- **Project Start Date**: The project start date will be auto-filled with the award start date listed in the Call for Applications.
- **Project End Date**: Enter the project end date consistent with your selected project duration.
  - Seed awards end date: July 31, 2025
  - Matching awards end date: August 31, 2025

Application Section 2: Applicant/Principal Investigator

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

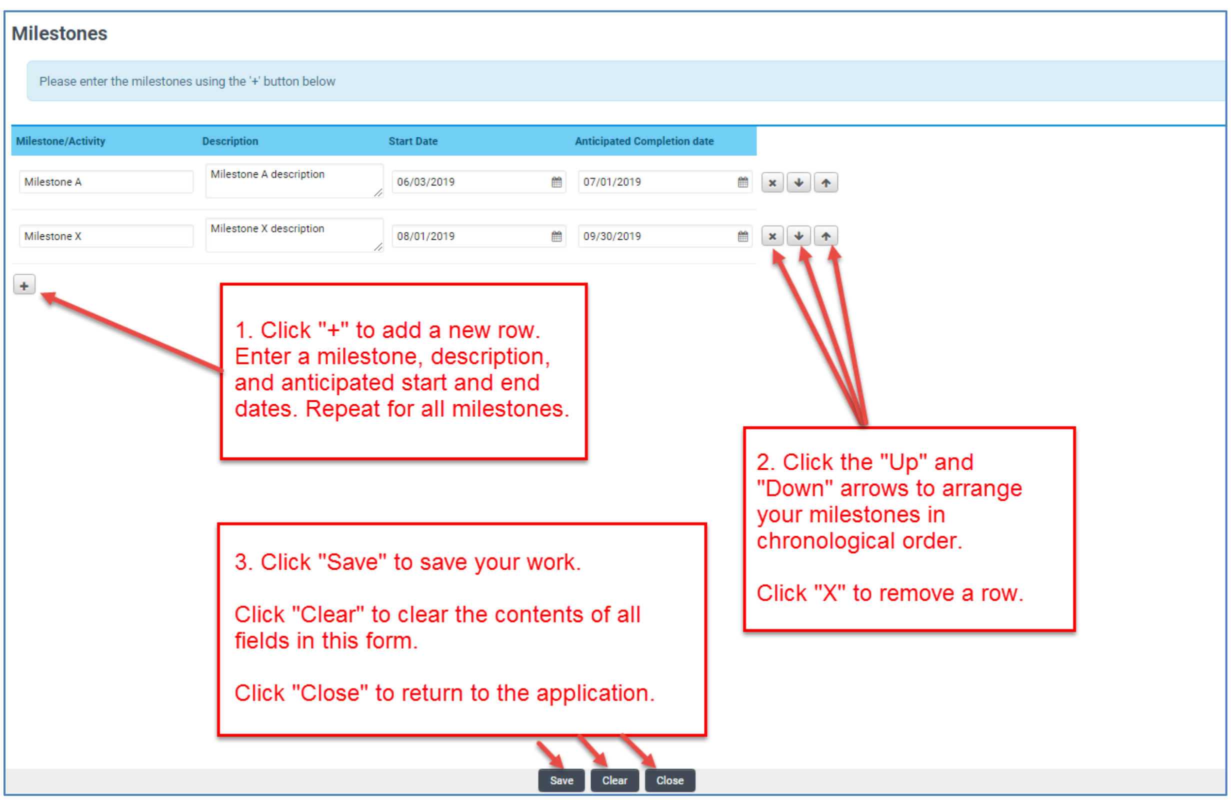
Progress Applications" on the Home screen. You can also go directly to the "My Profile" page in your account to make changes at any time.

- Please note that not all information on the Applicant/PI profile is required.
- ORCID: The Applicant/PI ORCID is optional for this award. If the ORCID for the Applicant/PI is not available, consider registering for one at orcid.org.

Application Section 3: Project Information

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

- **Lay Abstract:** Provide a concise summary of your project in non-scientific terms that would be understood by a lay audience. The description should be no more than 2400 characters in length (approximately 350 words) to avoid truncation.
- **Specific Aims:** Describe the specific aims of your project (2400 character maximum).
- **California Climate Priority:** Select which California climate strategy resource(s) your proposed activities address (three maximum). See links in Appendix A on page 12 of the RFP, or the Resources page of the California Climate Action website for more information.
- **Subject Area(s):** Select up to three subject area(s) from the SmartSimple interface that best classify this application.
- **Focus Area(s):** Select "**Climate Studies and Climate Change**" and at least one additional focus area. Start typing the focus area and the system will populate options. Refer to the Appendix B of this document for a full list of available focus areas.
- **Milestones and Timetable:** Click **"Enter Milestones."** A separate window will open. Click **"+"** to add a row and enter a milestone. Repeat for additional milestones. Use the **"Up"** and **"Down"** arrows at the right of each row to arrange your milestones in chronological order. Click **"X"** to remove a row. Click **"Save"** to save your changes. Click **"Close"** to return to the full application. A summary of the milestones that you entered will populate.

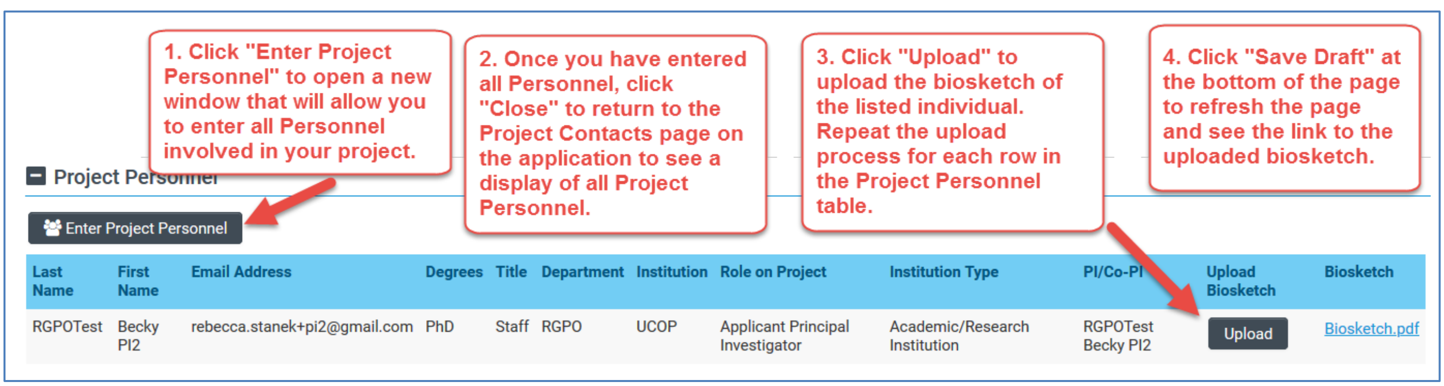


- **Suggested Reviewers:** If you would like to suggest one or more individuals to review applications submitted in this cycle, click **"Enter Suggested Reviewers."** A separate window will open. Click **"+"** to add a row, and enter the suggested reviewer's name, title, institution, email, and any notes you may want to share. Repeat to add additional suggested reviewers. Click **"Save"** to save your changes. Click **"Close"** to return to the full application. This section is optional and is not required.

  RGPO and the Office of Research & Innovation will constitute the panels, assign reviewers, and make final determinations regarding panel composition. You may suggest qualified individuals for our consideration who could provide reviews of your proposal without conflicts of interest. Please list the name and contact information of reviewers. All reviewer recommendations will remain confidential.

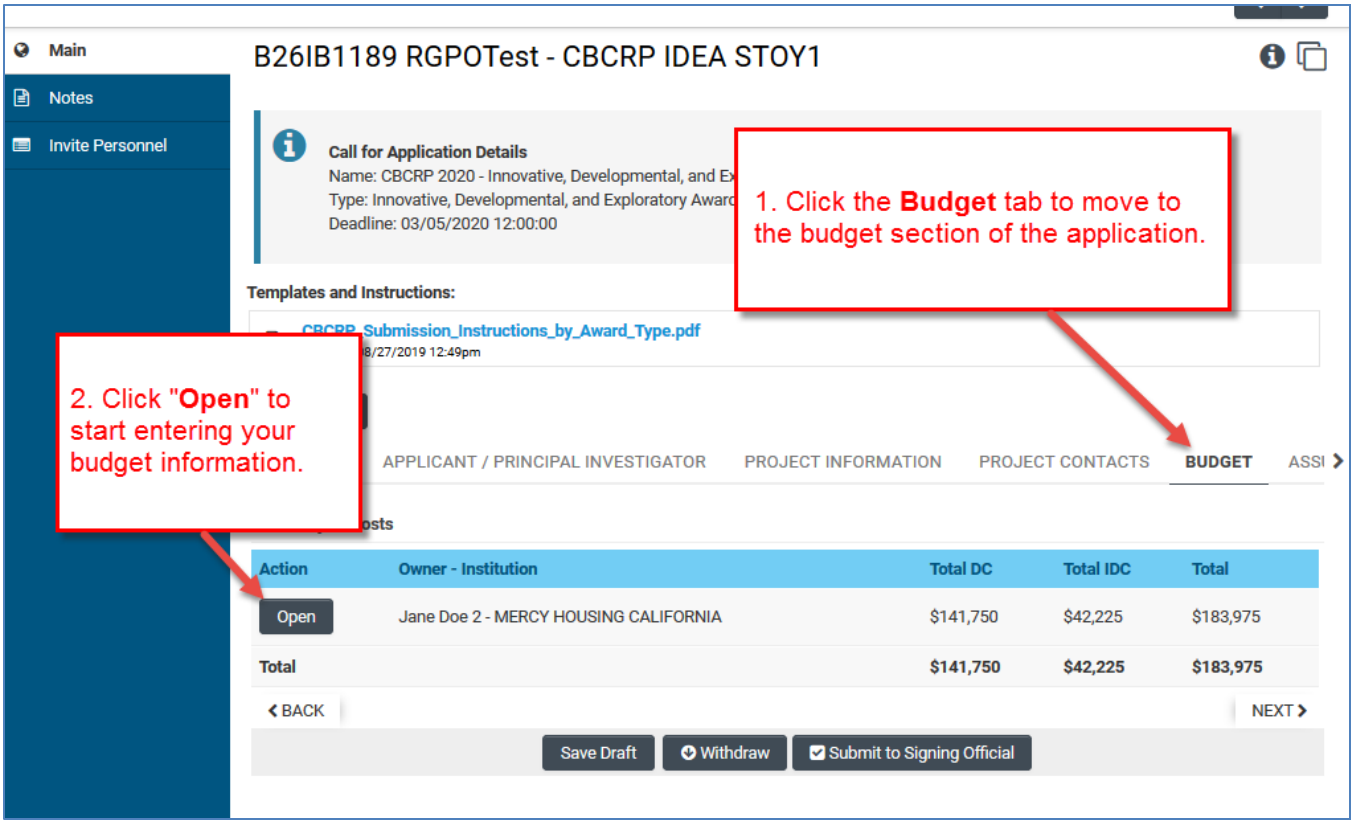
Application Section 4: Project Contacts

- **Institution Contacts:** This is a read-only display of the Institution Contacts you enter on the Budget tab. You do not need to enter any institution contacts here.
- **Project Personnel:** You **MUST** add all project personnel as specified in Appendix C of this instructions document. Only certain roles are allowed on certain award types. Click **"Enter Project Personnel."** A separate window will open. Using the **"+"** button, enter the names and details of all project personnel. Add rows until you have added all project personnel. Click **"Save"** to save your changes. Click **"Close"** to return to the full application. Please see Appendix C for Project Personnel definitions and guidelines.
  - **Role on Project:** For each personnel, select their role on the project from the drop-down list. List the Applicant PI in the role of "Applicant Principal Investigator." There can be only one Applicant PI. For all other personnel, select the appropriate role using the Project Personnel Roles – Definitions and Guidelines Appendix in Appendix C of this document.
  - **PI/Co-PI**: Disregard this column.
  - **Upload Personnel Biosketches**: **Include a CV or Biosketch for each person listed.** Once you close the Project Personnel window and return to Project Contacts tab, you will see a display of your Personnel. Each row in the table will now have an **Upload** button. Click the **"Upload"** button to upload a short CV or biosketch. Click **"Save Draft"** to display a link to the uploaded document.



Application Section 5: Budget

Click "**Open**" to begin this section. The Applicant PI will complete their Budget using the instructions below.



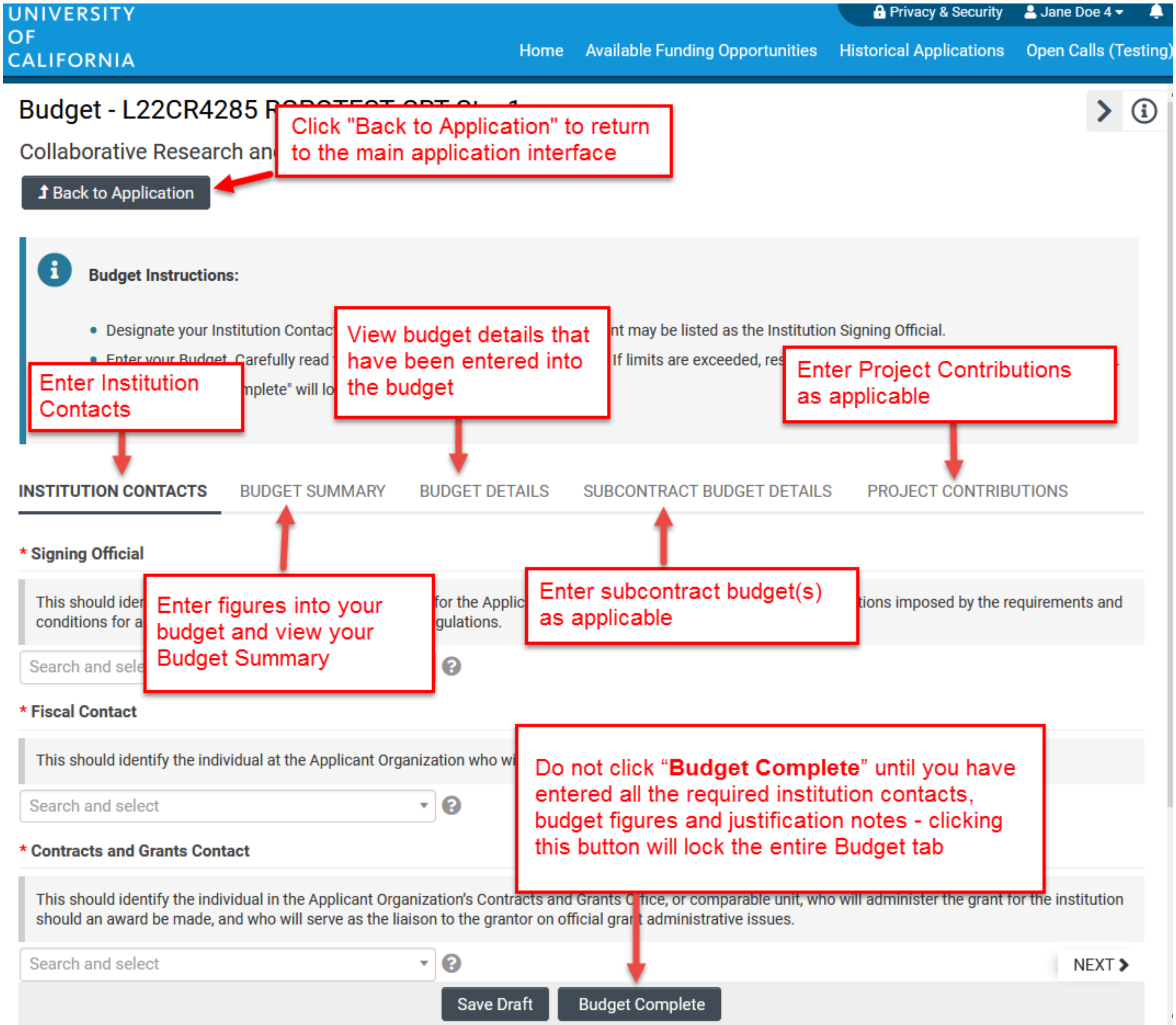
If other users from the Applicant PI's institution require access to enter budget information, the Applicant PI should invite them in the role of "PI Assistant" using the Invite Personnel instructions listed in Part C earlier in this document. The PI and the PI Assistant must be registered in SmartSimple under the same institution in order for the PI Assistant to access the budget.

Note: Academic/Research Collaborators and Community/End-User Partners who are requesting funds from the grant budget will be given edit access to the proposal when they are added as subcontractors, as described below. Note that the maximum total costs allowed for each award type includes indirect cost recovery and all subcontracts. Therefore, all Applicant Institution and Subcontractor budgets need to be developed in collaboration. After entering the "Institution Contacts" in the first tab, as described below, please go to the "Subcontract Budget Details" tab. Please see "Subcontractor Budgets" section below.

Do not click "Budget Complete" until you have entered all the required institution contacts, budget figures (including subcontracts), and justification notes and are ready to submit your application to your signing official – clicking this button will lock the entire Budget tab and you will not be able to make additional edits.

Please see Technical Tips and Warnings (Appendix E) for help in accessing or unlocking a budget.

This section contains the following sub-tabs: **Institution Contacts, Budget Summary, Budget Details, Subcontract Budget Details, and Project Contributions**



- **Institution Contacts:** Three contact types are required for every application:
  - **Signing Official:** This should identify the individual who is authorized to act for the Applicant Organization, and who will assume the obligations imposed by the requirements and conditions for any grant, including the applicable grantor's regulations.
    - When all online forms and downloaded templates have been completed and uploaded to SmartSimple, the application will be ready to be electronically submitted to the signing official entered here.
    - **Your institution's signing official will receive an email notification to log in, review, and electronically submit the application. Note: The signing official must complete this step prior to the application deadline. Please plan submission timelines accordingly. A user who is designated as both Principal Investigator and Signing Official will not be able to submit the application.**

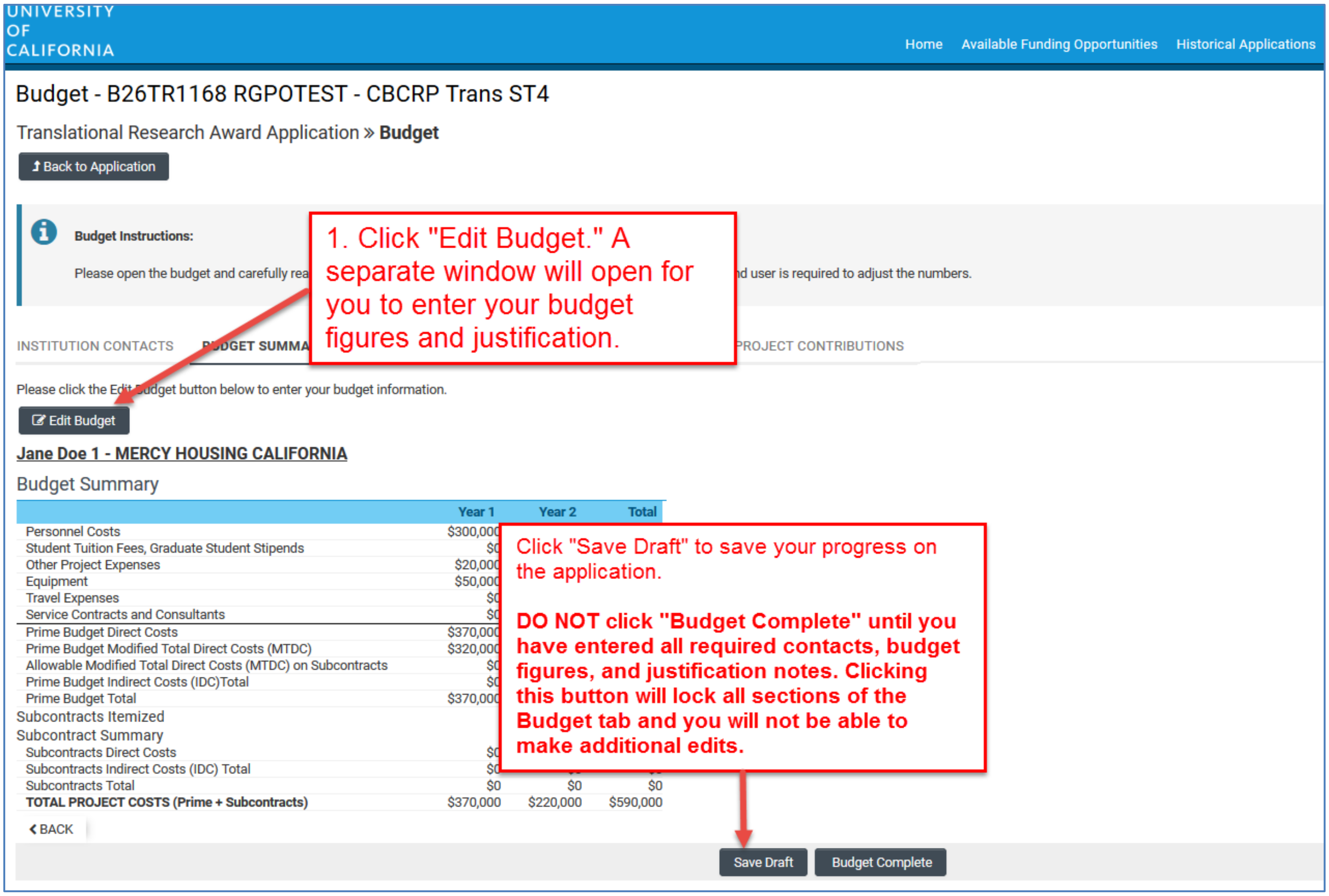
- **Contracts and Grants Official:** This should identify the individual in the Applicant Organization's Contracts and Grants Office, or comparable unit, who will administer the grant for the institution should an award be made, and who will serve as the liaison to the grantor on official grant administrative issues.
- **Fiscal Contact:** This should identify the individual at the Applicant Organization who will serve as the authorized fiscal officer to the grantor for official grant accounting issues.

To add these individuals as contacts of your application, start typing the official's name in the appropriate field and select a contact that populates. If you cannot find the contact name in the populated list, answer the question "Can't find the contact you're looking for?" If applicable, click the radio button next to **"Can't find Signing Official."** Then click **"Add Signing Official."** A pop-up window will open where you can enter the signing official's full name and email. The contact's name should now appear in the drop down menu of the role to which the contact was added. Repeat this process to add a Fiscal Contact and Contracts and Grants Contact as necessary.

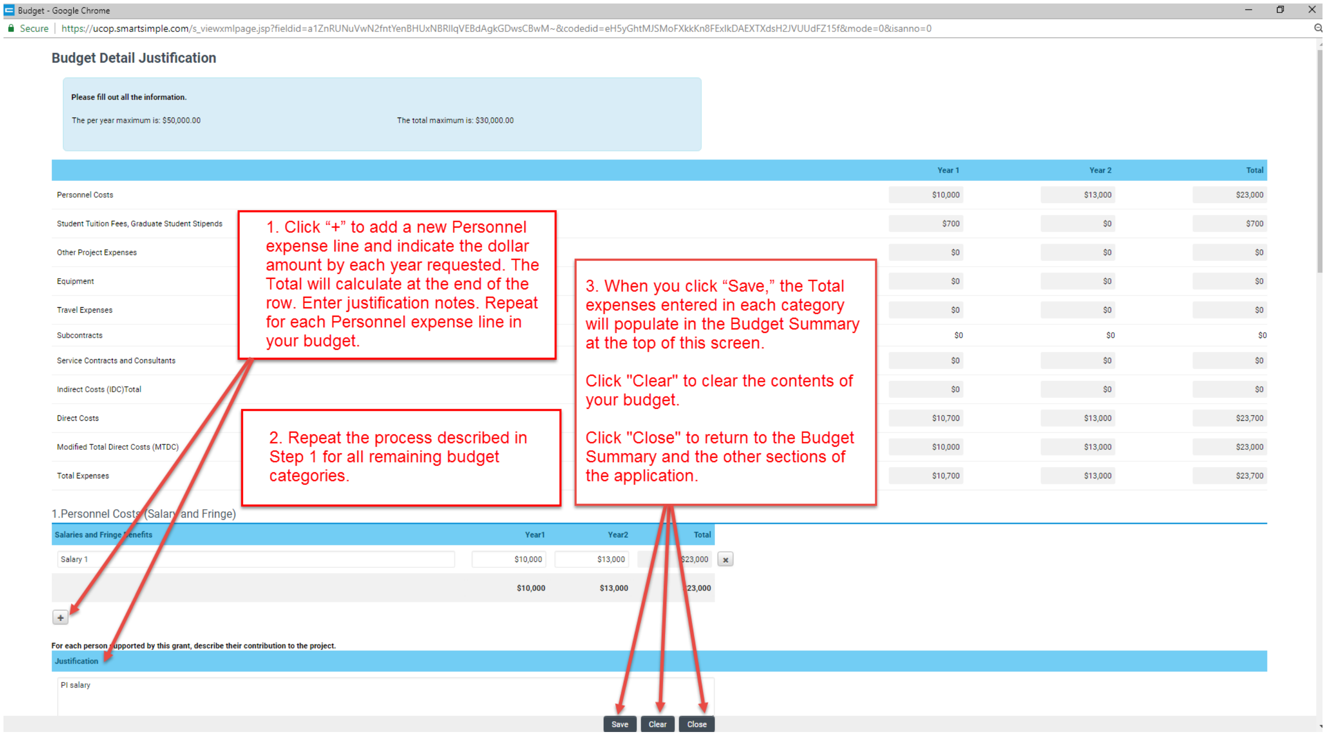
- **Budget Summary**

To complete your application budget, go to the "Budget Summary" tab within the main Budget tab. A complete detailed budget and budget justification must be submitted with a full application. Subcontractor budgets can be created as required. Click **"Save Draft"** to save your progress on the application before entering the budget information. Refer to Appendix D of this document for allowable costs and budget guidelines. Please note: matching contributions should be included in the Project Contributions tab, not in the Budget Summary. If an expense is partially covered by matching contributions, include only the amount being charged to the award in the Budget Summary table and the matching amount in the Project Contributions table.

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



- Scroll down to **Personnel Costs (Salary and Fringe)**. Click **"+"** to add a new Personnel expense and indicate the dollar amount by each year requested. The Total will calculate at the end of the row. Enter justification notes (see instructions below). When you click **"Save,"** the expense will populate in the Budget Summary at the top of this screen. Repeat this step for each Personnel expense in your budget.
- Repeat this process for each of the remaining budget categories (available budget categories may differ by award type).
    - **Student Tuition Fees, Graduate Student Stipends**
    - **Other Project Expenses**
    - **Equipment**
    - **Travel Expenses**
    - **Service Contracts and Consultants**
    - **Indirect Costs/Facility Administrative (FA) Costs**
        - Please note you must manually calculate and enter the Indirect Costs based on your Modified Total Direct Costs (MTDC). For this opportunity, indirect cost recovery is capped at 10% MTDC. Unrecovered indirect costs should be included as a "project contribution" using the "Project Contributions" tables described below.



- **Budget Justification**:
  - A textbox is available under each budget category to provide the budget justification relevant to that particular category. The budget justification should include FTE for any personnel, as well as cost-basis for project expenses and travel (number of travelers, duration of travel, airfare costs, lodging costs, etc.). There is no character limit on the budget justification, though the expectation is that the justification is concise. Note that for any costs for which a portion of that cost will be covered by matching contributions, the "budget justification" should reference the total cost or personnel effort, and clearly state the portion that will be charged to the grant (which will match the line item dollar entry) and the portion that will be contributed to the project (which will be included in the "project contributions" as described below).
- **Subcontractor Budget(s)**:
  - For each *Academic/Research Collaborator* and *Community/End-User Partner*, a separate subcontract must be provided. The Applicant PI must create each subcontract by clicking the **"Subcontract Budget Details"** heading, then **"Add New Subcontractor Budget,"** then **"Open"** to enter subcontract budget information.
  - Enter the Academic/Research Collaborator or Community/End-User Partner's name and institution information. If using the lookup table to enter a UC campus, be sure to search for the campus using the full "University of California" name.
  - To invite the Academic/Research Collaborator and Community/End-User Partner to their subcontract, click on "Invitations" in the left side-bar, and use the invitation interface (same as "Invite Personnel" in main application) to invite the user with the role of **Co-PI Subcontractor**.
  - After inviting the co-PI to fill out the subcontract, return to the "Main" tab of the subcontract and click **"Request Subcontractor Completion"** to email the subcontractor instructions to log in and complete their own budget.
    - After following the emailed instructions, the Co-PI Subcontractor can access their subcontract budget using the Pending Subcontracts tile on the Home screen. Click "Open" to begin entering subcontract budget figures using the same instructions listed above.

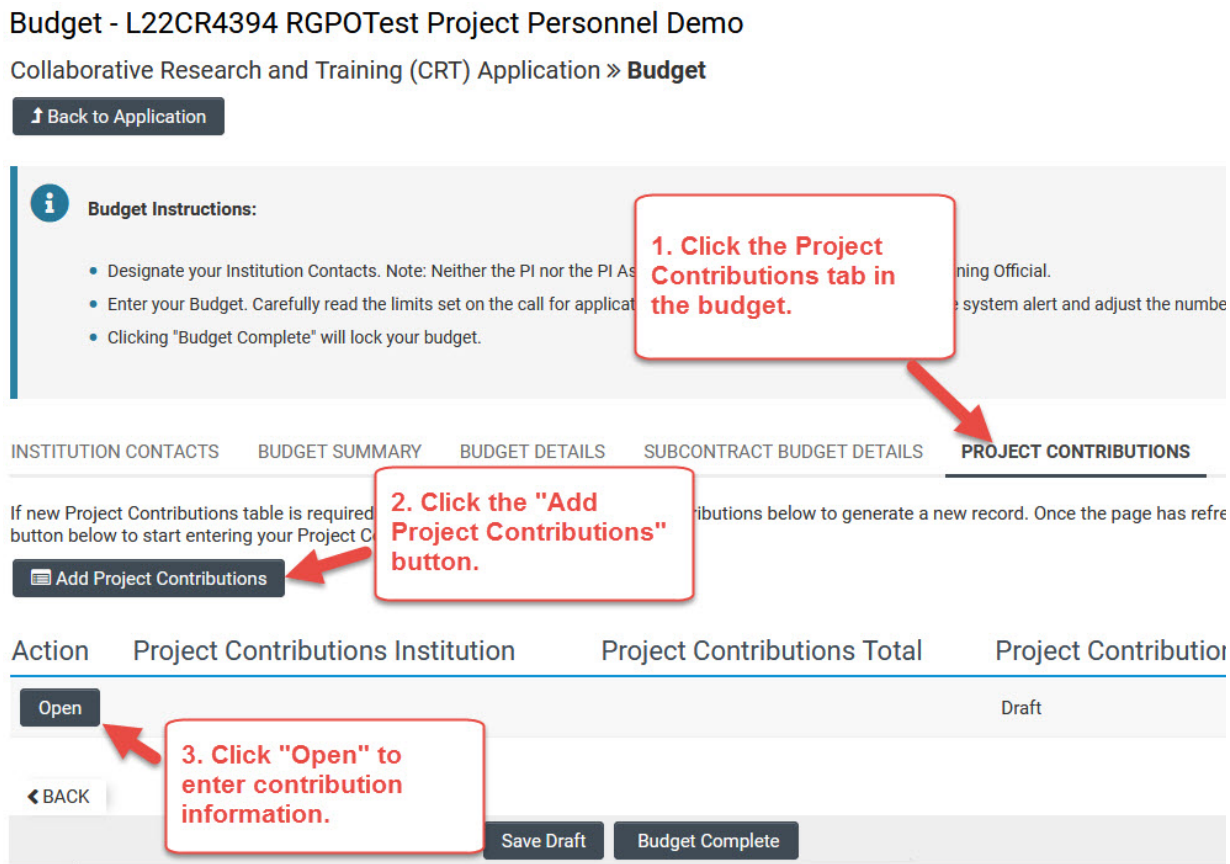
- The Co-PI Subcontractor can access the main application through the In Progress Applications tile on the Home screen. Note: The Co-PI Subcontractor must open the subcontract budget at least one time in order to initiate access to the main application.
- Please see full instructions for the Co-PI Subcontractor for step-by-step instructions.

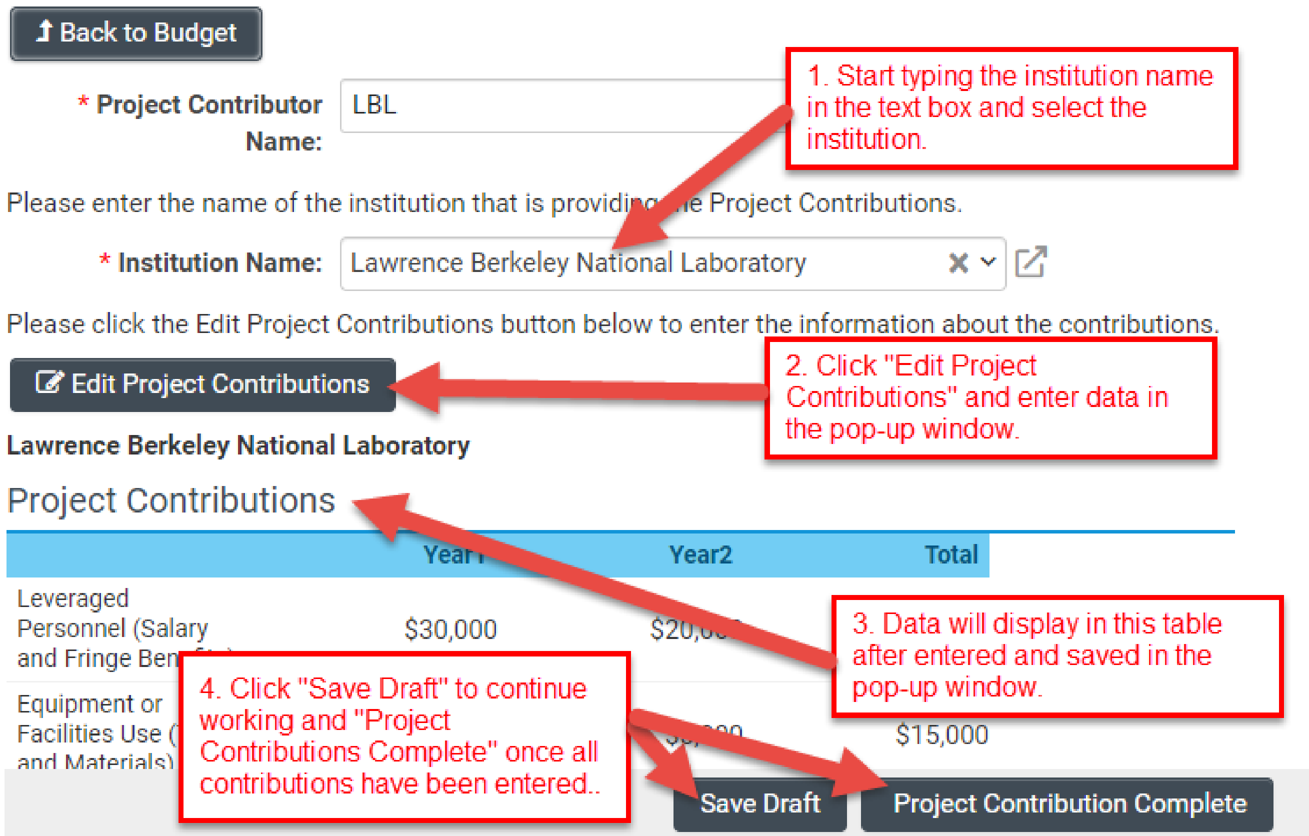
- **Project Contributions:** The "Project Contributions" tab is used to indicate the matching contributions for each project. Any participating institution or non-participating third-party entity may make matching contributions to the project and must indicate those contributions on the Project Contributions tab. Applicants in the Matching Grant category are required to identify **direct cost** matching contributions in the amount of at least 10% of the requested award amount. *However, applicants in both Seed and Matching Grants are strongly encouraged to include **all project contributions**, including unrecovered indirect costs, as part of their proposal application.* All institutions that waive a portion of their indirect cost to meet the 10% MTDC indirect rate for the project, should complete a Project Contributions table to record unrecovered indirect costs as a project contribution.

  The Applicant PI must initiate a separate Project Contributions table for each "project contributor", regardless of which participating institution is managing each contribution. Once initiated, the Applicant PI can complete the table on behalf of a contributor, or invite the contributor to complete the table. Refer to the SmartSimple Instructions for Entering Project Contributions for more details on entering project contributions into SmartSimple and Appendix D of this document for guidelines on matching contribution requirements.
  - Click **"Add Project Contributions"** to generate a new record. Once the page has refreshed, click the **"Open"** button, then **"Edit Project Contributions"**. A separate window will open.
  - In the box labeled "Project Contributor Name," enter the name of the institution, entity, for-profit business or industry making the contribution.
  - The "Institution Name" is the budgeted institution receiving and/or managing the project contributions on behalf of the project. Select the name of the institution from the drop-down menu. Tip: all UC campuses are listed in this drop-down with their full "University of California" name.
  - The "Project Contributor" and the "Institution Name" may or may not match, depending on the situation. Examples include:
    - If a budgeted institution on the project is contributing additional staff time, and documenting their unrecovered indirect costs, then the Project Contributor and the Institution Name will be the same.
    - If a third party not receiving proposed award funds is contributing resources to the project (whether cash or in-kind), then the Project Contributor is the name of the third party, and the Institution Name is the name of the budgeted institution that is receiving, managing, and reporting on the use of the project contributions.
    - Note that a separate Project Contributions table is required for each Project Contributor, even if there are multiple Project Contributors for a single Institution.
  - Enter matching contributions by category and project year.
  - All matching contributions, including unrecovered indirect costs, should be recorded in the table.
  - Enter a Contributions Description in the available textbox. For each line of the Project Contributions table, provide a description of the contribution, - type of contribution (e.g.; "cash", "in-kind") and calculations showing how you arrived at cost valuation. Indicate your federally-negotiated or other institutional indirect cost rate in the unrecovered indirect costs description. Refer to the "SmartSimple Instructions for Entering Project

Contributions" for information on how contributions by and to subcontractor partners will be collected in the system.

- Click **"Save"** often. Click **"Close"** to return to the Project Contributions summary.
- Once you have entered all the necessary contributions and notes, click **"Table Complete"** to lock the table.
- Signed letters of matching commitment, including institution approval of waived indirect-cost, should be uploaded in the 'Letters of Commitment' section under the "Documentation" tab of the application. Total contribution amounts stated in these letters should match the total in the Project Contributions table for each contributor.
- The Applicant PI can click **"Back to Budget"** to return to the prime budget.





- To invite other participating institutions/organizations/industry to add their Project Contributions, click on "Invitations" in the left side-bar, and use the invitation interface (same as "Invite Personnel" in main application) to invite the user with the role of **Project Contributor**.
- After inviting the contributor to complete their own Project Contributions table, return to the "Main" tab of the table and click **"Request Project Contributor Completion"** to email the contributor instructions to log in and complete their own Project Contributions table.
  - After following the emailed instructions, the Project Contributor can access their project contributions table using the Pending Project Contributions tile on the Home screen. Click "Open" to begin entering project contributions figures using the same instructions listed above.
  - Please see full instructions for the Project Contributor for step-by-step instructions.

- **Overall Budget Completion**:
  - When you have finished filling out your entire budget (including all subcontractor budgets and all project contribution tables), click **"Save,"** then **"Close."**
  - You can easily view the budget figures you entered by clicking the "**Budget Summary"** and "**Budget Details"** headings. You can click **"Edit Budget"** to make updates or changes to these budget sections.
  - If you would like to work on other sections of the application and return to the Budget later, click **"Save Draft,"** then **"Back to Application."**
  - Once you have entered all the necessary budget figures and notes, click **"Budget Complete." Note: Clicking "Budget Complete" will lock the entire Budget section and you will not be able to make additional edits. *Please see Technical Tips and Warnings (Appendix E) for help in unlocking a budget.***

Application Section 6: Organization Assurances

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

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

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

Application Section 7: Documentation: Proposal Templates

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

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

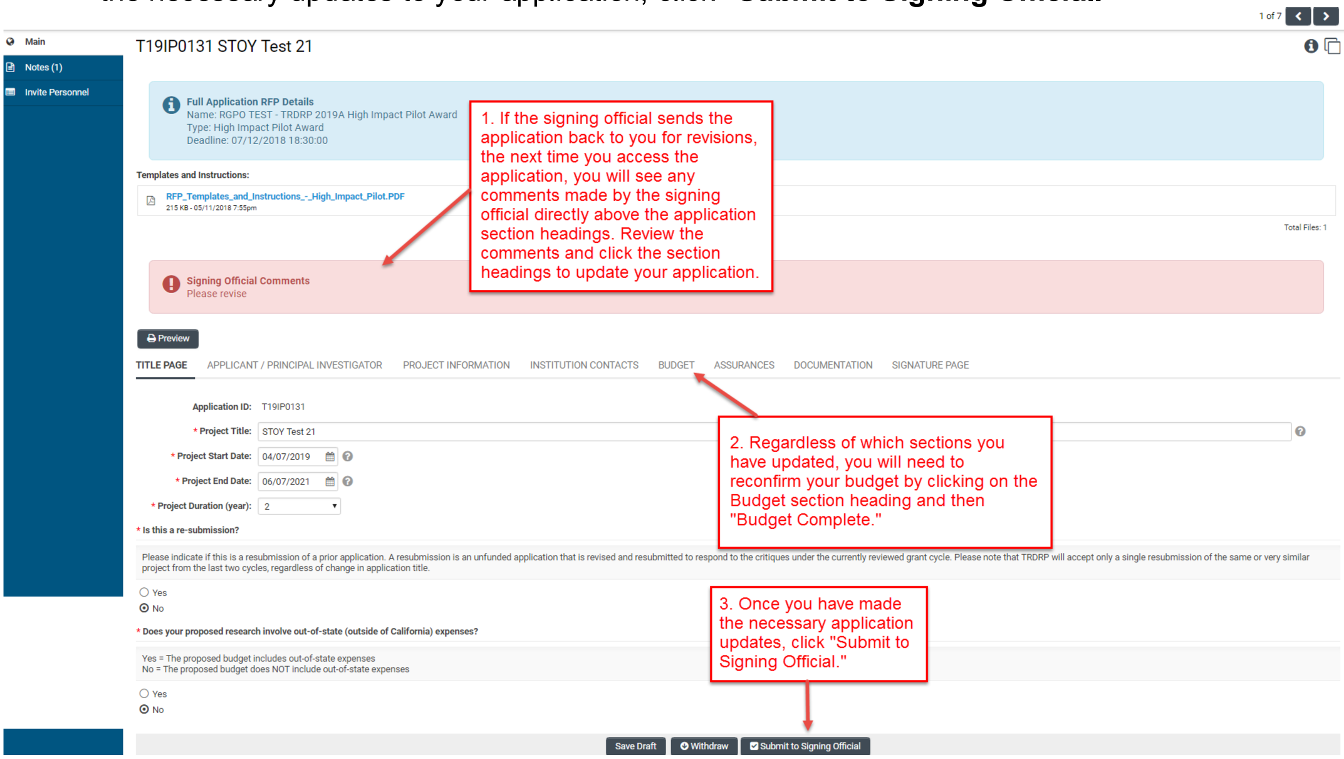
Application Section 8: Signature Page
Once all online and downloaded templates have been completed and uploaded to SmartSimple, the application is ready to be signed and submitted to your institution's signing official. The Applicant PI must sign and date the submission.

- **Applicant Signature:** Check the box to certify the information in your application.
- **Signee:** Type your full name into the field.
- **Date:** Type the current date on which you are submitting the application.
- Click **"Save Draft."**
- Click **"Submit to Signing Official."**

Your institution's signing official will receive an email notification to log in, review, and either submit the application, or send the application back to the Applicant PI for revision. Refer to the Signing Official instructions. **Note: The signing official must complete this step prior to the application deadline. Please plan submission timelines accordingly. A user who is designated as both Principal Investigator and Signing Official will not be able to submit the application.**

- If the signing official's submission was successful, a confirmation message will appear on the screen and a confirmation email will be sent to the Applicant PI. The email confirmation typically arrives within a few minutes (the length of time may be greater near the submission deadline). If you do not receive the SmartSimple confirmation email within an hour of your submission, please contact us using the contact information at the end of this document. You can also confirm the status of your application submission by going to the Home screen, and clicking on **"Submitted/Under Review Applications."**

- If the signing official sends the application back to you for further revision, you will receive an email notification. When you next log in and open your application, you will see any comments made by the signing official at the top of the application interface. Update the application as needed. **Note:** Regardless of which sections you have updated, you will need to reconfirm your budget by clicking on the Budget section and then **“Budget Complete.”** Once you have made the necessary updates to your application, click **"Submit to Signing Official."**



Appendix A: Proposal Form Upload Requirements

Form Name & Template Availability	Notes & Page Limits	Seed Award	Matching Award
Project Description - Word template provided (Applicant is required to use the template provided)	- Download Project Description template and upload completed single PDF to Research Plan field. - Page Limit: 15 plus literature cited.	Required	Required
Climate Action Research Compliance Form - Word template provided (Applicant is required to use the template provided)	- Download Compliance form template and upload completed single PDF to Research Compliance field. - Page Limit: 1	Required	Required
Biosketch/CV - Required for Applicant PI, all Academic/Research Collaborators and individually named Community/End-User Partners who contribute substantively to the project conduct. - No template provided or specified	- Each biosketch is limited to 3 pages; no format or template specified but fillable form biosketches cannot be accepted. - **Upload each biosketch in individual's upload slot in the Project Personnel table** - Label the file with the person's name and role, e.g. "Doe, Jane – Co-Investigator"	Required (upload in Project Contacts tab)	Required (upload in Project Contacts tab)
Letters of Commitment - No template provided.	- Page limit: 2 pages per letter - Combine multiple letters into one PDF and upload single PDF.	Optional	Required

Appendix B: Focus Areas

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

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

Climate Action awards allow the following roles to be designated on the project personnel table. These roles should accompany named individuals on the grant only.

TABLE 1. PROJECT PERSONNEL ROLES

Role on Project	**Definition**	**CV/Biosketch Required?**
Applicant Principal Investigator	*Each project must have one, and only one, Applicant PI.* The Applicant PI submits the proposal on behalf of the collaboration. The Applicant PI is responsible for the overall conduct of the research, for providing progress, fiscal and other reports, and serves as the project's primary contact. Any additional investigators from the Applicant PI's institution are called Co-Investigators.	Yes
Co-Principal Investigator	Co-PIs serve as the organizational leads for each collaborating institution or end-user organization and typically contribute substantially to the project. Each collaborating organization must have one, and only one, Co-PI. The Co-PI is responsible for research activities and fiscal oversight at their institution/organization.	Yes
Co-Investigator	Co-Is are additional project collaborators at each participating research institution or community/end-user Partner organization who contribute in a significant manner to the project activities and outcomes.	Yes
Trainee	Named trainees may be post-doctoral fellows who will devote significant effort to the project, or other named graduate students participating in a significant manner in the research as part of a degree program or formal fellowship, and who do not meet the definition of Co-PI or Co-I. Do not include unnamed Trainees in the personnel table.	No
Consultant	Consultants are project participants who provide a well-defined guidance or service and are not affiliated with any of the participating institutions or end-user organizations. Provide the names and affiliations of all consultants.	No
Research Support Staff	Research Support Staff are individuals providing technical services in support of the research project. Include only those roles that are directly involved in the research project. Administrative, secretarial, or other general departmental or center support staff are not considered to be directly involved in the research and should not be listed as research support staff.	No
Administrative Support Staff	Administrative Support Staff are individuals providing administrative, secretarial, or other general departmental or center support.	No

A Role on Project must be selected for each individual named in the project personnel table. Other roles that may appear as options in SmartSimple should not be used for Climate Action awards.

Only identified (named) individuals who contribute meaningfully to the research should be listed here as key personnel. Do not include investigators or end-users who will not play a substantive role in the research conduct, and do not list as-yet unidentified post-docs or graduate students.

Note that all required CVs/biosketches are uploaded directly to the project personnel table.

Appendix D: Allowable Costs and Project Contributions

Follow the instructions in Part C of the *SmartSimple Full Application Submission Instructions* to enter project costs into SmartSimple. A detailed budget, by project year, must be prepared and accompanied by brief line-item justifications in relation to the proposed activities and potential impact of the proposal. The budget should reflect the efficient use of resources to maximize outcomes and minimize administrative costs.

Each budget line has an accompanying text box to provide the budget justification or cost calculation for the requested allocation. All proposed expenditures must be directly incurred for the execution of the activities described in the project description, and be consistent with the allowable costs and guidelines described here.

I. Allowable Costs:

All research activities must take place in California, and costs are expected to be incurred in California. All grant-funded project participants must be in California. Only activities that can be accomplished within the two-year grant period should be included in the project budget, and align with the timelines and milestones outlined in the proposal.

1) Personnel Costs (Salary and Benefits)
Personnel costs for effort that directly supports the activities described in the proposal narrative are allowed in accordance with the rules by personnel type in each category described below. Any individual who will charge effort to the award must be entered in a separate line, with a brief explanation of the cost calculation (e.g., “Summer salary for 2 weeks of each project year”, or “Postdoctoral Fellow, 50% effort for 12 months”). In the budget template, please enter each individual by name, if known, and describe the percent time/effort in the justification text box.

Note that the entire personnel effort for each individual should be provided in the budget justification. However, only the portion of that effort charged to the award should be entered in the cost box. The remaining effort not charged to the award should be included in the entry in the personnel line of the Project Contributions table for that institution. Using the example above, if the Postdoctoral Fellow is contributing 50% effort, but only 25% is charged to the award, that lesser cost (25%) only should be entered in the budget line.

<u>Academic/Research Personnel:</u>

Faculty and researchers: Faculty and researchers who make significant contributions to the activities described in the proposal may charge effort to the award. 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). RGPO 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.

Postdoctoral Fellows/Researchers may be included in the personnel line for effort dedicated to the proposed project. Named Postdoctoral Fellows should be listed in the key personnel table and identified as “Trainees” or as “Co-Investigators,” as appropriate to their role on the project.

Student Researchers who are hired as employees should have their pay included in the Salaries and Fringe Benefits line. Please indicate the pay rate or calculation for each student. Student financial aid may not be charged to the award. Named GSRs should be listed in the key personnel table and identified as “Trainees.”

Community Partners, Tribal members, and other End-Users: Community members, community organization, tribal members and other local experts who contribute time, expertise and input into the project design, execution, and/or evaluation should be meaningfully compensated at a level commensurate with their contributions to the project. They may receive a stipend (which should be included in personnel costs here), or be paid as contractors/consultants (see separate category below). Please provide the rate or calculation for their compensation.

Other Project Personnel: Staff research support directly attributable to the proposed activities may be charged as a prorated percentage of salary. Administrative effort directly attributable to the coordination of the proposed activities may be charged as a prorated percentage of salary. All research and administrative staff effort must identify the specific activities described in the proposal their effort will support.

2) Graduate Student Tuition & Fees and Student Stipends
Graduate student tuition and fees should be included in this line item. If there are multiple GSR positions in the same budget year, tuition and fees may be included on one line, but the justification should indicate the number of positions, and the appointment type for each GSR. If a student appointment provides a stipend in lieu of salary, the stipend amount for each student should be included here.

3) Other Project Expenses
Faculty and Student Research Grants: This budget line should be used only if there is a proposed allocation for competitive subawards that is explicitly articulated in the project description.

Project Sponsored Conferences: Direct costs for proposed meetings, conferences, or workshops should be included on the budget for the campus/location that incurs the costs (usually the campus or location hosting the event). Briefly describe the type of event in the budget justification text box.

Office Rental: Only prorated allocable direct rental costs associated with the project may be charged to the award. Outline the cost calculation in the budget justification text box.

Supplies: Include expected costs for supplies and other research expenses not itemized elsewhere. Publication costs for research directly resulting from activities supported by this grant are only allowable if incurred during the award period. Pooled expenses may be allowed as a direct cost - with documented 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. Undescribed costs will not be allowed.

4) Equipment (Unit Cost over $5K)
The requested equipment items must be inventoriable and individually cost more than $5,000. The equipment must be used directly for the execution of the proposed research within the two-year award period, and the description and specific use of the equipment must be provided in the budget justification. The justification must also include a plan for covering equipment maintenance beyond the award period. Funding for equipment purchases for which no plan for ongoing maintenance is provided, will not be considered.

Equipment may not be purchased in the last six months of the award period. Any equipment budgeted in the final project year must justify how the equipment will be fully operational for use to accomplish the activities specific to the milestones for that year.

Equipment, technology, or access to equipment or laboratories that is provided by a third party (industry, non-participating entity) should be included in the project contributions table, with an identification of the project contributor, and the funded institution that will receive, use, or manage the contributed equipment or technology.

5) Travel Expenses
Travel reimbursements are allowable only for travel directly related to data collection and/or the execution and dissemination of the proposed research. On a limited basis, travel to out-of-state conferences or presentations, and associated registration fees, may be charged to the award, as long as the travel and participation in those events is specifically for the purpose of dissemination of research findings and other project outcomes, and is in compliance with state law (e.g., AB 1887).

International conference travel, and non-project-related travel, is not allowed.

6) Service Contracts and Consultants
Service agreements may be allowed when the required service or activity is not available from the Applicant PI institution or by participating collaborators and partners. Specific justification related to the project description must be provided.

Community Partners, Tribal members, and other End-Users: Community members, community organization, tribal members and other local experts who contribute time, expertise and input into the project design, execution, and/or evaluation should be meaningfully compensated at a level commensurate with their contributions to the project. If they receive compensation through a contract or consultant fee, please enter the rate or calculation in the justification and enter the amount in the appropriate line.

7) Indirect Cost Recovery
Indirect cost recovery is established at 10% on a modified total direct cost basis (MTDC) and is included in the total allowable award amounts for each award type. This rate also applies to subcontractors on the award.

Indirect cost rates are applied to a base consisting of salaries and wages, fringe benefits, materials and supplies, services, travel, and service subcontracts up to the first $25,000 of the initial award period. This base is called the Modified Total Direct Cost, or MTDC base. Equipment or other capital expenditures, charges for tuition remission, rental costs of space, scholarships, fellowships, and student stipends, as well as the portion of each subgrant and subcontract in excess of the first $25,000 are excluded from the MTDC base.

Please indicate the federally approved indirect cost rate, or other approved cost rate in the budget justification, and calculate both the total IDC (on an MTDC basis) and the 10% cost. The 10% cost should be entered in the project budget. The unrecovered IDC should be entered in the project contributions table for that institution incurring those unrecovered IDCs.

II. Non-Allowable Costs:

Funding provided by this opportunity may not be used to cover patient care costs, clinical trials, patent execution costs, fundraising costs, or any costs prohibited by California state policy.
Funding may not be requested to provide core institutional support, faculty and staff stipends, or student financial aid. Funding to cover any costs likely to extend beyond the award period is not allowed.

None of the following may request grant funds directly or through subawards for their participation in or contributions to the CA Climate Action Seed or Matching Grant project: Out of state entities; Industry or for-profit businesses/entities; federal government agencies; California state agencies.

NOTE: Out of state entities, industry or for-profit partners, state or federal agencies that contribute to the project should have their contributions included in the "project contributions" tables. Please indicate the name/source of the project contributor, and the budgeted applicant or subcontractor institution that will receive, use, or manage that contribution on behalf of the project.

III. Project Contributions:

Matching Contributions
CA Climate Action Matching Grant proposals are required to obtain matching contributions of at least 10% of the requested award amount. CA Climate Action Seed Grant proposals must include unrecovered indirect costs from all participating institutions; Seed Grant proposals *may* include additional matching contributions but are not required to do so. The Project Contributions table in the SmartSimple budget interface is used for capturing all matching contributions to the proposed project. A separate table must be created for each participating institution and/or third-party entity contributing matching funds. Please see the *SmartSimple Instructions for Entering Project Contributions* and Part C of the *SmartSimple Full Application Submission Instructions* for instructions on entering matching contributions into SmartSimple.

Matching Sources
Matching contributions may be provided by any of the participating institutions or by third-party entities not receiving funds from the proposed award. All matching contributions must be guaranteed by a letter of commitment. Additional matching contributions above the minimum required—including cash, in-kind contributions, and unrecovered indirect costs—are allowed and encouraged, but not required. Unrecovered indirect costs cannot be used to meet the *minimum* matching requirement. All institutions that waive a portion of their indirect costs to meet the 10% MTDC indirect rate for the project, should complete a Project Contributions table to record unrecovered indirect costs as a project contribution.

Allowable Matching Contributions. The following guidance applies to all matching contributions. Matching Contributions may include:

- **a.** Cash or in-kind contributions that cover or offset direct costs of the research project, and/or,
- **b.** Activities or in-kind contributions from a new or existing synergistic project that directly supports and/or extends the impact and outcomes of the proposed CA Climate Action project.

"Cash" contributions are any non-state funds provided to cover allowable direct costs of the project.

"In-Kind" contributions are supplies, personnel time, services (including patent prosecution), or equipment provided without charge that directly advance a project activity or outcome. Personnel effort contributed by institutions participating in the proposals, regardless of their status as public or private institutions, may count toward the matching contribution.

In-kind contributions must be essential to the project and assigned a value commensurate with the value to the project. The value of these contributions is based on the actual market value (where available) or on reasonable cost valuation. For example, the value of donated personnel time is calculated based on the individual's actual pay and benefit rate, whereas the cost of a service or use of equipment is based on a reasonable cost for that service or equipment if it were to be procured.

Unrecovered indirect costs cannot be used to meet the *minimum* matching requirement but should be included in the Project Contributions table. Unrecovered indirect costs are calculated as the difference between 10% and your federally-negotiated F&A rate on a MTDC base. If you do not have a federally-negotiated F&A rate, no reporting of unrecovered indirect costs is needed.

Non-allowable costs may not be applied as matching contributions.

Valuations of in-kind matching contributions must be attested to annually by the fiscal officer and designated signing official for the organization making the contribution.

IV. Grant Management Procedures and Policies:

All 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. Please see the latest version of the University of California, Office of the President, "RGPO Grant Administration Manual" for details.

Appendix E: Technical Tips and Warnings

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

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

2. **Issues with Institution Profile:**
   - Some applicants have difficulty finding their institution in the database. Most California research institutions and universities are in the SmartSimple database, in addition to other organizations, particularly those that have applied to RGPO programs previously.
   - Note for UC Applicants: You will need to type in "University of California" in the search box in order to see your campus listed in the dropdown list. If you have difficulty locating the database entry for your institution, please contact us using the information provided at the end of this document.
   - If your institution does not appear to be in the SmartSimple database, use the "search the IRS database" feature or contact us to have your institution added to the system.

3. **Record Locked Message:** The application can be accessed by one user at a time. If you are unable to edit your application, it is likely in use by another user. A message will appear at the bottom of the screen indicating that the application is currently locked to you. You will not be able to access the application until the first user closes their session.

4. **Unlocking a Budget**: Please contact the Research Grants Program Office Contracts and Grants unit at RGPOgrants@ucop.edu for assistance with this request.

5. **PI Assistant cannot access the budget even though they were added through the Invite Personnel tab**: The PI and PI Assistant must be registered under the same institution in SmartSimple in order to access the PI's budget. Contact RGPOgrants@ucop.edu for assistance with updating a user's institution.

6. **Uploaded Documents Not Appearing in "Preview"**: In some instances a document uploaded to the application in the "Project Personnel" or "Documentation" does not appear in the compiled PDF when the applicant clicks "Preview". This is usually because of an electronic signature or other issue with the document. For a PDF file, using a "print to PDF" process and uploading the resultant PDF file will resolve this issue.

7. **Submitting the application**: A user who is designated as both Principal Investigator and Signing Official will not be able to submit the application through SmartSimple. The Principal Investigator should designate a different user, who can sign on behalf of the institution, as the Signing Official in order to avoid errors.

Contact Information

For the most up-to-date application and review cycle information refer to the UC California Climate Action website: https://uckeepresearching.org/california-climate-action/

Check the **Frequently Asked Questions** at: https://uckeepresearching.org/faq/

Please sign up for updates and submit any questions online at https://uckeepresearching.org/connect-california-climate-action/. Due to the volume of proposals, we cannot provide individual responses. However, the online FAQs will be reviewed weekly based on questions received and updated as needed.