

Managing Your Award – Post Award

Grantee Instructions for Post Award Activities in SmartSimple

Annual Reporting Overview

Approximately 30 days prior to the Annual Progress Report and Annual Fiscal Forecast due date, the reporting activities will be available for completion. The PI is responsible for completing the Annual Progress Report, and the Institutional Fiscal Contact is responsible for completing the Annual Fiscal Forecast. The purpose of the Annual Fiscal Forecast is to justify carry-forward estimates and to identify the need for Budget Change Requests.

As a reminder, it is advised to click “Save Draft” throughout the completion of all reports to ensure your data is saved while you work.

It is important to review the listed contacts on the award to ensure appropriate workflow for each deliverable, otherwise, compliance will be delayed.

1. To review the contacts listed on the project, log in to SmartSimple:
<https://ucop.smartsimple.com>. Under “My Applications”, click the “Awarded Applications” tile. Click “Open” on your selected grant to review the grant information.
2. Go to the “Institution Contacts” tab to review the Contracts and Grants Official as well as the Institutional Fiscal Contact. If these contacts have changed, please open the Budget, go to the Institution Contacts tab, and click the **Update Institution Contact** button. Update the contacts, click Save Draft and click Submit Update. If you have difficulty, email RGPO at rgpogrants@ucop.edu with the PI name, Grant ID, and updated contact information. Once contacts are up to date, this will ensure the reports are sent to the correct contacts.

Annual Progress Report

PI SUBMISSION

The PI will receive an email when the Annual Progress Report is ready for completion. In the PI dashboard in SmartSimple, the Annual Progress Report will be available under “Assigned Actions” under the “Deliverables” tile.

- To access the reports, log in to SmartSimple: <https://ucop.smartsimple.com>. Under “Assigned Actions”, click “Deliverables”.

My Applications

0

In Progress Applications

0

Submitted / Under Review Applications

1

Awarded Applications

0

Assigned Actions - Signing Official

Assigned Actions

2

Deliverables

0

Pending Letters of Reference

0

Pending Subcontracts

0

Grant Agreements for Review

- Select the “Annual Progress Report” for the appropriate Grant Year. Click “Open.”

| | | | | | | | | | | |
|---|------------------------|---|-----------|------------------------|-----------------|--------------------------|------------|----------------------|-----|-------------|
| 5 | Annual Progress Report | 1 | T29IP0571 | T29IP0571 RGP0test MS6 | Lisa Test Jones | MERCY HOUSING CALIFORNIA | 07/02/2018 | PI Input | Yes | Open |
| 6 | Annual Fiscal Forecast | 1 | T29IP0571 | T29IP0571 RGP0test MS6 | Lisa Test Jones | MERCY HOUSING CALIFORNIA | 07/02/2018 | Fiscal Officer Input | Yes | Open |

- Complete all sections of the Progress Report. All those marked with a red asterisk (*) are mandatory fields. For those sections that allow uploads, please upload all relevant documents. Once all sections are complete, click “Save Draft.”
- Next, towards the top of the page, click the “Signature” tab.

Annual Progress Report - T29IP0571 RGP0test MS6

High Impact Pilot Award Application » **Annual Progress Report**

Preview

* **Grant Year:** 1

Institution: Sanford Burnham Prebys Medical Discovery Institute

* **Date Due:** 07/02/2018

Application ID: T29IP0571

Project Title: RGP0test MS6

PROGRESS DETAILS

SIGNATURE

- Review the information on the “Signature” tab. To certify that all information in the progress report is accurate and complete, click the checkbox, type the PI name in the “Applicant Electronic Signature” field, and enter the date.
- To submit the task, click “Submit to C&G Officer” at the bottom of the screen. When the pop-up message appears, click “Yes” to confirm submission. The task is then forwarded to the Contacts and Grants Official listed in the grant file.

PROGRESS DETAILS **SIGNATURE**

*** Applicant Signature**

Check the box to indicate that you acknowledge the statement below and type in your full legal name to serve as your electronic signature.

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

*** Applicant Electronic Signature (Type in your full legal name)**

*** Date**

C&G Officer Comments

CONTRACTS AND GRANTS OFFICER REVIEW

The Contracts and Grants Officer will receive an email when the Annual Progress Report is ready for review and submission to RGPO. In the Contracts and Grants Officer dashboard in SmartSimple, the Annual Progress Report will be available under “Assigned Actions” under the “Deliverables” tile.

- To access the reports, the Contracts and Grants Official logs in to SmartSimple: <https://ucop.smartsimple.com>. Under “Assigned Actions”, click “Deliverables.”

My Applications

| | | | |
|--------------------------------------|---|----------------------------------|---|
| 0 In Progress Applications | 0 Submitted / Under Review Applications | 1 Awarded Applications | 0 Assigned Actions - Signing Official |
|--------------------------------------|---|----------------------------------|---|

Assigned Actions

| | | | |
|--------------------------|--|----------------------------------|---|
| 2 Deliverables | 0 Pending Letters of Reference | 0 Pending Subcontracts | 0 Grant Agreements for Review |
|--------------------------|--|----------------------------------|---|

- Select the “Annual Progress Report” for the appropriate Grant Year. Click “Open.”

| | | | | | | | | | |
|--------------------------|---|-----------|------------------------|-----------------|--------------------------|------------|-------------------|-----|-------------------------------------|
| 5 Annual Progress Report | 1 | T29IP0571 | T29IP0571 RGP0test MS6 | Lisa Test Jones | MERCY HOUSING CALIFORNIA | 07/02/2018 | C&G Officer Input | Yes | <input type="button" value="Open"/> |
|--------------------------|---|-----------|------------------------|-----------------|--------------------------|------------|-------------------|-----|-------------------------------------|

- Review all sections of the Progress Report. Then proceed to the “Signature” tab towards the top of the page, click the “Signature” tab.
- If revisions are required**, enter the revisions needed under the “C&G Officer comments” section. Then click, “Send Back to PI.”

Annual Progress Report - T29IP0571 RGPOtest MS6

PROGRESS DETAILS **SIGNATURE**

*** C&G Officer Signature**

Check the box to indicate that you acknowledge the statement below and type in your full legal name to serve as your electronic signature.

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

*** C&G Officer Electronic Signature (Type in your full legal name)**

*** Date**

mm/dd/yyyy

C&G Officer Comments

Revisions required:

- 1)
- 2)

← BACK

Save Draft **Send Back to PI** Submit to RGPO

- If all progress report information is accurate and complete, review the information on the “Signature” tab. To certify that all information in the progress report is accurate and complete, click the checkbox, type the PI name in the “Applicant Electronic Signature” field, and enter the date.
- To submit the task, click “Submit to RGPO” at the bottom of the screen. When the pop-up message appears, click “Yes” to confirm submission. The task is then forwarded to RGPO for review.

Annual Progress Report - T29IP0571 RGPOtest MS6

PROGRESS DETAILS **SIGNATURE**

01/29/2020

*** C&G Officer Signature**

Check the box to indicate that you acknowledge the statement below and type in your full legal name to serve as your electronic signature.

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statement accept responsibility for the scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

*** C&G Officer Electronic Signature (Type in your full legal name)**

*** Date**

mm/dd/yyyy

C&G Officer Comments

← BACK

Save Draft Send Back to PI **Submit to RGPO**

Annual Fiscal Forecast

FISCAL OFFICER REVIEW

The Institutional Fiscal Contact will receive an email when the Annual Fiscal Forecast is ready for completion. In the Fiscal Officer’s dashboard in SmartSimple, the Annual Fiscal Forecast will be available under “Assigned Actions” under the “Deliverables” tile.

- To access the Annual Fiscal Forecast, log in to SmartSimple: <https://ucop.smartsimple.com>. Under “Assigned Actions”, click “Deliverables”.
- Select the “Annual Fiscal Forecast” for the appropriate Grant Year. Click “Open.”

| | | | | | | | | | | |
|---|------------------------|---|-----------|------------------------|-----------------|--------------------------|------------|----------------------|-----|-------------------------------------|
| 5 | Annual Progress Report | 1 | T29IP0571 | T29IP0571 RGP0test MS6 | Lisa Test Jones | MERCY HOUSING CALIFORNIA | 07/02/2018 | PI Input | Yes | <input type="button" value="Open"/> |
| 6 | Annual Fiscal Forecast | 1 | T29IP0571 | T29IP0571 RGP0test MS6 | Lisa Test Jones | MERCY HOUSING CALIFORNIA | 07/02/2018 | Fiscal Officer Input | Yes | <input type="button" value="Open"/> |

- Review the budget information listed at bottom of page. Enter “Adjustments to Working Budgets” that are within allowable limits for the category. Then, enter “Estimated Expenditures” by category. When complete, click “Save Draft” button.

| Approved Budget | Carry-forward Balance | Adjustments to Working Budget (within allowable limits) | Estimated Expenditures | Balance |
|---|-----------------------|---|---|--------------|
| Personnel Costs (Salary and Fringe): \$146,972.00 | \$0.00 | <input type="text" value="500"/> | <input type="text" value="\$80,000.00"/> | \$67,472.00 |
| Student Tuition, Fees, and Stipends: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Other Project Expenses: \$50,278.00 | \$0.00 | <input type="text" value="-500"/> | <input type="text" value="\$25,000.00"/> | \$24,778.00 |
| Equipment: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Travel Expenses: \$2,750.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$1,200.00"/> | \$1,550.00 |
| Service Contracts and Consultants: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Prime Budget Indirect Costs: \$50,000.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$30,000.00"/> | \$20,000.00 |
| Subcontracts Costs: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Total Project Costs (Prime + Subcontracts): \$250,000.00 | \$0.00 | <input type="text" value="\$0.00"/> | <input type="text" value="\$136,200.00"/> | \$113,800.00 |

Enter budget adjustments that are less than \$2500 and 25% of the category.

Enter Estimated Expenditures through the end of the budget period.

Total Project Adjustments should net \$0.

Calculate percentage of Carry Forward Balance against Direct Costs.

*Please click Save Draft to recalculate totals.

- Review the remaining balance listed in the “Balance” column.

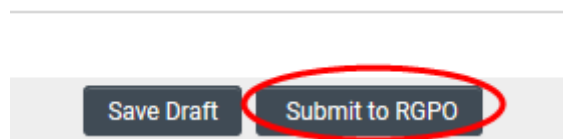
| Approved Budget | Carry-forward Balance | Adjustments to Working Budget (within allowable limits) | Estimated Expenditures | Balance |
|---|-----------------------|---|---|--------------|
| Personnel Costs (Salary and Fringe): \$146,972.00 | \$0.00 | <input type="text" value="500"/> | <input type="text" value="\$80,000.00"/> | \$67,472.00 |
| Student Tuition, Fees, and Stipends: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Other Project Expenses: \$50,278.00 | \$0.00 | <input type="text" value="-500"/> | <input type="text" value="\$25,000.00"/> | \$24,778.00 |
| Equipment: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Travel Expenses: \$2,750.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$1,200.00"/> | \$1,550.00 |
| Service Contracts and Consultants: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Prime Budget Indirect Costs: \$50,000.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$30,000.00"/> | \$20,000.00 |
| Subcontracts Costs: \$0.00 | \$0.00 | <input type="text" value="0"/> | <input type="text" value="\$0.00"/> | \$0.00 |
| Total Project Costs (Prime + Subcontracts): \$250,000.00 | \$0.00 | <input type="text" value="\$0.00"/> | <input type="text" value="\$136,200.00"/> | \$113,800.00 |

*Please click Save Draft to recalculate totals.

Go to the “Carry Forward Percentage” section at the top of the page. If the remaining balance is greater than 25% of Direct Costs, select “Yes” and enter a justification in the “Carry Forward Description” field. If balance is less than 25% of Direct Costs, select “No.” Click “Save Draft” to save the information.

The screenshot shows the 'FISCAL DETAILS' section of a form. Under the heading '* Carry Forward Percentage', there is a statement: 'This award has a carry forward balance greater than 25%.' Below this are two radio buttons: 'No' and 'Yes'. A callout box points to the 'Yes' option with the text: 'Click "Yes" if balance is greater than 25% of Direct Costs'. Below the radio buttons is the 'Carry Forward Description' section, which includes a text area with the prompt: 'If a carry-forward is requested, briefly describe any delays and address how the carry-forward funds will be used.' A callout box points to this text area with the text: 'If "Yes" above, enter justification for carry forward here.' At the bottom of the form, there are two buttons: 'Save Draft' and 'Submit to RGPO'. A callout box points to the 'Save Draft' button with the text: 'Click "Save Draft" after entering information'. A word count indicator shows '0 words typed'.

5. Go to “Out of Budget Spending.” If a budget change exceeds the threshold for allowable budget changes or requires additional justification, select “Yes.” Once reviewed by RGPO, we will send a Budget Change Request for completion. Otherwise, select “No.” For specific criteria regarding budget changes, see section 3.3 and the table on p.12 of the RGPO Grant Administration Manual: <https://www.ucop.edu/research-grants-program/grant-administration/index.html>.
6. Once all information has been entered, click “Submit to RGPO” at the bottom of the screen. When the pop-up message appears, click “Yes” to confirm submission. The task is then forwarded to RGPO for review.



Annual Fiscal Report

The fiscal report activity is an official accounting of expenditures. The **Institutional Fiscal Contact** completes the activity as the authorized fiscal officer for the institution. Failure to submit the required information by the date indicated may result in a recall of grant funding and the grantee may become ineligible to submit new grant applications. Severe delinquencies may result in additional restrictions.

The fiscal report displays the following columns:

- The **Approved Budget** is the current fiscal year's award budget, plus any previously-approved budget changes.
- The **Carry-forward Balance** reflects the previous year's balance, if any.
- Enter any internal changes to the approved budget, within the allowable variances, in the **Adjustments to Working Budget** column. If these changes exceed RGPO's allowable variances, please contact your RGPO C&G analyst or Program Officer for a budget change request.
- Enter expenditures for the report year into the **Expenditures** column.

Click "Save Draft" to recalculate the balances. Negative balances are not allowed in any budget category. Please see the Grant Administration Manual Section 7.2 for in-depth instructions.

FISCAL OFFICER INPUT

The Institutional Fiscal Contact will receive an email when the Annual Fiscal Report is ready for completion. In the Fiscal Officer's dashboard in SmartSimple, the Annual Fiscal Report will be available under "Assigned Actions" under the "Deliverables" tile. Click "Save Draft" at any time to save your progress, such as if you need to exit the activity before completing it.

1. To access the Annual Fiscal Report, log in to SmartSimple: <https://ucop.smartsimple.com>. Under "Assigned Actions", click "Deliverables".
2. Select the "Annual Fiscal Report" for the appropriate grant year. Click "Open."
3. Enter any internal changes to the approved budget, within the allowable variances, in the Adjustments to Working Budget column. If these changes exceed RGPO's allowable variances, please contact your RGPO C&G analyst or program officer for a budget change request.
4. Enter expenditures for the report year into the Expenditures column.
5. Click "Save Draft" to recalculate the balances.
6. In the Summary of Travel Expenses, please provide a summary of expenses for each travel category (Program Meeting, Project-related Travel, and Scientific Meetings). If there were no travel expenses for the reporting period, enter "No travel expenses to report."
7. For Non-UC institutions only:
 - Enter interest rate and interest amount earned during this reporting period.
 - Upload supporting documentation verifying the interest rate and interest amount.
8. Click "Save Draft."
9. Click "Submit to RGPO." Confirm your submission by clicking "Yes" at the message prompt.

Award Amount Modification

PI SUBMISSION

1. Go to the Home page. Click “Deliverables.” Choose the Annual Progress Report deliverable and click the “Open” button.

Home Available Funding Opportunities Historical Applications

My Applications

| | | |
|--|--|---------------------------|
| 1 In Progress Applications | 0 Submitted / Under Review Applications | 1 Awarded Applications |
| 0 Assigned Actions - Signing Official | | |

Assigned Actions

| | | |
|-------------------|-----------------------------------|---------------------------|
| 3 Deliverables | 0 Pending Letters of Reference | 0 Pending Subcontracts |
|-------------------|-----------------------------------|---------------------------|

2. Once in the Annual Progress Report activity, go to Award Amount Modification and click “Create New.” When the pop up appears, click “OK.”

Annual Progress Report - T29FT

Postdoctoral Fellowship Award Application » Annu

* Grant Year: 1

Institution: University of California, Santa Cruz

* Date Due: 03/16/2020

Application ID: [REDACTED]

Project Title: [REDACTED]

Award Amount Modification:

PROGRESS DETAILS SIGNATURE

Hey

New record(s) has been initiated. Please navigate to the Deliverables icon on your home page to complete the request. **If you do not see an Award Amount Modification deliverable within the next 5 minutes, please email rgpogrants@ucop.edu for instructions**

- The Award Amount Modification activity will now show in the PI's Deliverables tab. Click "Deliverables" on the Home screen. You will see the Award Amount Modification deliverable listed.

Deliverables

x Q

| # | Type | Grant Year | Application ID | Name | Principal Investigator | Institution | Due Date | Status | Overdue | |
|---|---------------------------|------------|----------------|---|--------------------------------|-------------|------------|----------------------|---------|---|
| | Award Amount Modification | | T29DT0038 | T29DT0038 RGPOTest MS6 testy mcdunagan predoc test | Lyn+earthlink1 Test Dunagan | test-00001 | 11/30/2019 | PI Input | | Open |
| 2 | Final Fiscal Report | 1 | T29DT0038 | T29DT0038 RGPOTest MS6 testy mcdunagan predoc test | Lyn+earthlink1 Test Dunagan | test-00001 | 03/29/2020 | Fiscal Officer Input | | Open |
| 3 | Annual Fiscal Forecast | 1 | T29DT0038 | T29DT0038 RGPOTest MS6 testy mcdunagan predoc test | Lyn+earthlink1 Test Dunagan | test-00001 | 03/02/2019 | Fiscal Officer Input | | Open |

- Upload all application forms for the Supplement for which you are applying under the "Application" upload field. For TRDRP, information and application forms for these supplemental awards may be found on the TRDRP website at <http://www.trdrp.org/funding-opportunities/award-mechanisms/index.html>

* Date Due: 05/01/2020

Application:

Please contact RGPO via email at rgpogrants.ucop.edu for the forms needed to complete this deliverable.

📎

Other Documentation:

Please contact RGPO via email at rgpogrants.ucop.edu for the forms needed to complete this deliverable.

📎

Click the upload icon to select the file(s).

Application: 📎


File Manager

Drag and drop files here.

Maximum file size: 2 GB

✕

📁

Either drag and drop the files into the window, or click the Browse icon  to find the file in your local computer. Click to the Signature page and complete the fields before clicking click “Submit to C&G Officer”. Click Yes at the confirmation screen to confirm the submission.

5. Go to the Signature section at the bottom of the page. Complete the certification of statements, Applicant Electronic Signature, and Date. Click “Submit to C&G Officer.”

SIGNATURE

* Principal Investigator Signature

Check the box to indicate that you acknowledge the statement below and type in your full legal name to serve as your electronic signature.

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

* Applicant Electronic Signature (Type in your full legal name)

* Date

mm/dd/yyyy 

C&G Officer Comments

Save Draft

Submit to C&G Officer

The PI will see a “Submission Successful” message when the activity is complete.

[Home](#) [Available Funding Opportunities](#) [Historical Applications](#)

Submission Successful

CONTRACTS AND GRANTS REVIEW

1. The Award Amount Modification activity is in the Deliverables tab for the Institution C&G. Click “Deliverables.”

[Home](#) [Available Funding Opportunities](#) [Historical Applications](#)

My Applications

1

In Progress Applications

0

Submitted / Under Review Applications

1

Awarded Applications

0

Assigned Actions - Signing Official

Assigned Actions

3

Deliverables

0

Pending Letters of Reference

0

Pending Subcontracts

2. Go to the Award Amount Modification. Click “Open.”

Deliverables

| Type | Grant Year | Application ID | Name | Principal Investigator | Institution | Due Date | Status | Overdue |
|---------------------------|------------|----------------|--|------------------------|---------------------------------------|----------|-------------------|-------------|
| Award Amount Modification | | T29IR0723 | T29IR0723 RGPOTest Pushing forward to Selected for Funding for Milestone 8 testing | Marty-PI Bayer-PI | University of California, Los Angeles | | C&G Officer Input | Open |

3. Review the uploaded documents. Click “Save Draft” if any changes are made.
4. Go to the Signature section at the bottom of the page. Complete the certification of statements, Applicant Electronic Signature, and Date. Click “Submit to RGPO.”

SIGNATURE
I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

*** Applicant Electronic Signature (Type in your full legal name)**

PI Signature

*** Date**

03/02/2020

*** C&G Officer Signature**

Check the box to indicate that you acknowledge the statement below and type in your full legal name to serve as your electronic signature.

I certify that the statements herein are true, complete and accurate to the best of my knowledge. I am aware that any false, fictitious, or fraudulent statements or scientific conduct of the project and to provide the required progress reports if a grant is awarded as a result of this application.

*** C&G Officer Electronic Signature (Type in your full legal name)**

*** Date**

mm/dd/yyyy

C&G Officer Comments

Save Draft **Submit to RGPO**

Click Yes at the confirmation screen. The “Submission Successful” screen indicates the activity is complete.

Home Available Funding Opportunities Historical Applications

Submission Successful