Applicant webinar: Agenda and Topics

- CRT Research Team Structure
- CRT Budget and Contract Structure Overview
- Key Steps in SmartSimple
UC National Laboratory Fees Research Program
UC Research Initiatives
Research Grants Program Office

Programmatic questions email: UCRI Program Officers at UCRI@ucop.edu

CRED Proposals: Leila Sievanen

MM-HED Proposals: Nicholas Anthis
Rebecca Stanek-Rykoff

PPB Proposals: Erin Marnocha
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Technical (SS) and administrative questions email: RGPOGrants@ucop.edu
UC Multicampus-National Lab Collaborative Research & Training (CRT) Award
Collaborative Research Team Structure

**Applicant PI**
Applicant Institution = UC Campus #1
(+ UC Campus #1 Co-Is; Trainees)

- **UC Co-PI**
  - UC Campus #2
  - Co-Is; Trainees

- **UC Co-PI**
  - UC Campus #3
  - Co-Is; Trainees

- **UC Co-PI**
  - UC Campus #4
  - Co-Is; Trainees

- **NL Co-PI**
  - UC NL #1
  - UCNL #1
  - Co-Is; Trainees

- **NL Co-PI**
  - UC NL #2
  - UC NL #2
  - Co-Is; Trainees

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UC Campus *(required)*
UC Campus/Location *(optional)*
National Laboratory *(required)* LNL or LNL
National Laboratory *(optional)* LNL; LLNL or LBNL

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UC LFRP- CRT 2021 Competition – Applications due August 5, 2021
Project Personnel Table = Named Research Team Members

- List Applicant PI and each Co-PI; Append CVs
- Additional Named Key Personnel only
- Project Personnel entries do not generate SS access.

Allowable Roles on Collaborative Research Team – Project Personnel Table

**Applicant Principal Investigator**
- Coordinates submission and research activity across all partners; Submits Proposal; Assigns Co-PIs access;

**Co-Principal Investigator**
- One [and only one] for each additional collaborating site (UC or UCNL)
- May invite personnel from own institution

**Co-Investigator**
- Additional named research and academic personnel/collaborators at a campus, national lab only
- Contribute significant intellectual or technical expertise to the research.

**Trainee**
- Named individuals with associated budget costs

**Consultant**
- Named collaborators not affiliated with a UC campus/national lab who provide a well-defined contribution not available within the UC system.

Project Personnel must adhere to RFP rules for allowable personnel and eligibility.
UC Multicampus-National Lab Collaborative Research & Training (CRT) Award

Budget and Contract Structure

UCOP- Research Grants Program Office
UC National Laboratory Fees Research Program

Applicant Institution/PI – UC Campus #1
Prime Budget

NL #1 - Co-PI
Prime budget
Contract with UCOP

NL #2 - Co-PI
Prime budget
Contract with UCOP

UC MCA may be required by Applicant Institution/Campus

Co-PI Subcontractor
UC Campus #2
Subcontract Budget

Co-PI Subcontractor
UC Campus #3
Subcontract Budget

Co-PI Subcontractor
UC Campus #4
Subcontract Budget

Each national lab must complete a project contributions tab with any LFRP-CRT budget request

UC Campus (required)
UC Campus/Location (optional)
National Laboratory (required) – LANL or LLNL
National Laboratory (optional)

- Applicant Institution (UC Campus #1), and each National Lab, are awarded directly by UCOP-LFRP
- Institutional Sign-off required by the Applicant UC and each National Lab for proposal submission
- The total request for all locations may not exceed $4 million over 3 years, including IDC.
UC Multicampus-National Lab Collaborative Research & Training (CRT) Award
Type of SmartSimple Access/Access Roles

SmartSimple Roles provide levels/types of access to the system to create/edit/approve proposal elements
> SmartSimple Access is initiated by the Applicant PI
> Co-PI for each location has edit access to own budget, and to proposal elements
> Co-PI can invite (and provide access to) individuals from their own location

Access Roles/Types to Proposal and Budget Interface

**Applicant Principal Investigator**
- Edit ALL proposal elements and budget
- Invite; Sign; Submit to Signing Official

**Co-Principal Investigator** [National Lab]
- Edit proposal; Invite OWN institution personnel
- Edit OWN Prime budget; Obtain required institutional approval

**Co-Principal Investigator Subcontractor**
- Edit proposal; Invite OWN institution personnel;
- Edit OWN subcontractor budget (no institutional sign-off)

**Co-Investigator**
- View only

**PI Assistant**
- Added by Applicant PI or Co-PI; Access matches access of inviter from own institution.
- *Recommended for C&G/Signing Official budget review and approval
- *May be provided to others assisting PI/Co-PI with completing proposal elements.
  *Cannot sign proposal*
CRT Awards: Key Takeaways

• The Applicant PI is responsible for ensuring eligibility of all Co-PIs prior to full proposal submission.

• The Collaborative Research Team is represented on the Project Personnel Table
  • Each additional collaborating UC campus and each national lab has only one co-PI

• The Applicant UC campus and each National Lab(s) have their own prime budget

• Each additional collaborating UC campus completes a subcontract budget “under” the Applicant UC prime budget.
Accessing SmartSimple
Login to SmartSimple: https://ucop.smartsimple.com/

Returning users
login here

First-time users
register here
Applicant PI Administrative Action Items

• Open the Full Application
• Invite the co-PI from the National Lab to the Application
• Invite Assistant to help with application preparation (if necessary)
• Initiate Budget for applicant campus
• Create subcontracts for each additional UC campus
• Invite each UC co-PI to their subcontract

• *(when complete)* Submit to campus Signing Official
From Approved LOI to Full Application

1. Click on “In Progress Applications.”
2. Locate the row for your submitted Lab Fees CRT LOI. The “Status” Column will indicate if your LOI is approved. Click “Open” to begin full application and access instructions and templates.
3. Click on the “Continue to Full Application” button at the bottom of the screen to access the Full Application materials.
Application Submission

Instructions can be downloaded from the top of every page.

Complete each section of the application.

Preview button generates PDF of application (including budget and all uploaded attachments).

Download templates and upload required attachments in the Documentation section.
Full Application: Inviting Personnel

1. Click on “Invite Personnel”
Full Application: Inviting Personnel

2. Click the plus button to add the provide access to the following roles on the SmartSimple application:

- **Co-Principal Investigator**: *Required for National Lab co-PIs*; Edit access to full application, generates their own prime-level budget
- **PI Assistant**: can edit and submit a completed application
- **Co-Investigator**: View only

3. Enter the individual’s name and email address.
4. Repeat as needed.
5. Click ‘Invite’ to send out invitation emails.
The Prime Budgets (accessed from BUDGET tab) are used to enter the budget and Institution Contacts for the host campus and the national lab. **Note: the National Lab budget will appear once the National Lab Co-PI accepts their invitation.** The BUDGET tab is also where you will create subcontracts for other UC campuses.
Do not click “Budget Complete” until you have entered all the necessary budget figures, justification notes, and subcontracts – clicking this button will lock your budget and you will not be able to make additional edits.
Each campus site with a budget will need a separate subcontract. After clicking “Add New Subcontract Budget”, click the “Open” button that appears.
Applicant PI *must* create a subcontract budget for each UC campus Co-PI, and invite the Co-PI to the subcontract.

1. Enter the Subcontractor name. Start typing their Institution (e.g. "University of California") into lookup box and select from auto-complete options.

2. Click on "Invitations" to invite a subcontractor to fill out the subcontract.
Applicant PI must invite each campus Co-PI to their subcontract.

Select the role Co-PI Subcontractor for the campus co-PI.

Note that the co-PI can then use this functionality to invite someone else (e.g. an assistant) to fill out the subcontract.
Budget tab - Subcontracts

Applicant PI *must* invite each campus Co-PI to their subcontract

You *must* return to Main tab of subcontract and click “Request Subcontractor Completion” button for subcontractor to access subcontract.

Create a separate subcontract and repeat this process for each UC campus.
UC Co-PI Administrative Action Items

- Access Subcontract Budget
- Invite Assistant to fill out subcontract (if necessary)
- Add named Co-Is/Trainees from own institution to Project Personnel table (if applicable)
- Access Main Application
UC co-PI: log into SmartSimple and *first* access subcontract.

Click on “Pending Subcontracts” tile to access the subcontract.
Click on “Edit Subcontract Budget” to edit budget figures and justifications.

**Do not click Subcontract Budget Complete** until all figures and justifications are final.
Inviting an Assistant to Fill Out Subcontract

The Co-PI can invite someone to fill out the subcontract on their behalf. This individual will NOT have access to the full application.
Inviting an Assistant to Complete Subcontract

In the invitation interface, select the role **Subcontractor Assistant**, and then click “Invite”.

1. Click + to add a new row
2. Enter the user’s name and email address, and select role "Subcontractor Assistant"
3. Click "Save" to save progress, and "Invite" to send invitation email
4. Click "Main" to return to subcontract for one last step.
Co-PI Access to Application

UC co-PI: *after* the subcontract has been opened, the UC co-PI has access to the full application.
National Lab Co-PI Administrative Action Items

• National Lab Budget
• National Lab Project Contributions
• Invite Assistant (if necessary) to complete national lab budget
• Add named Co-Is/Trainees from own institution to Project Personnel table (if applicable)
• Signature Page for Non-Submitting Institutions
The Prime Budgets (accessed from BUDGET tab) are used to enter the budget and Institution Contacts for the host campus and the national lab. **Note:** the National Lab co-PI has access to the application and their budget after accepting the email invitation.

The BUDGET tab is also where the National Lab enters their Project Contributions.
Budget tab - Editing the prime budget

Do not click “Budget Complete” until you have entered all the necessary budget figures, justification notes – clicking this button will lock your budget and you will not be able to make additional edits.
All participating National Labs are required to fill out the Project Contributions tab. This can be accessed from the Budget tab.
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National Lab Institution Signoff

The participating National Lab(s) will need to sign and upload the “Signature Page for Non-Submitting Institutions”.

Download the Signature Page for Non-Submitting Institutions; obtain required signatures, and upload.
The Applicant PI submits the application to the campus signing official, who then submits it to RGPO. *The signing official must submit it by the deadline; please be aware of any internal deadlines for submission.*
Final Takeaways and Tips

- The Applicant PI invites the National Lab Co-PIs on the main application
- The Applicant PI invites the UC campus Co-PIs in the subcontracts
- Do not click “Budget Complete” until all numbers and justifications are final
  - Email RGPOgrants@ucop.edu for help with unlocking a budget
I still have questions.....

1. **Ask them today**

2. Review the materials in the RFP, FAQs and Full Application Instructions

3. Visit our website at: [https://www.ucop.edu/research-initiatives/programs/lab-fees/index.html](https://www.ucop.edu/research-initiatives/programs/lab-fees/index.html)

4. **Contact us as questions arise**
Contact Information

For SmartSimple support:
Research Grants Program Office
RGPOGrants@ucop.edu

For programmatic questions:
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