APPENDIX 1. APPLICATION INSTRUCTIONS

See Formatting Requirements below and submit applications with documents attached in the order listed.

Component	Fillable Form?	Appendix	1-inch Margins Arial, 12 pt. Font	Line Spacing	Page Limitation
Application Checklist	Yes	Appendix 2	N/A	N/A	N/A
Project Application Face Sheet	Yes	Appendix 2, Document A	N/A	N/A	N/A
Consortium Application: Collaborating Institutions	Yes	Appendix 2, Document A1	N/A	N/A	N/A
Project Summary (Individual)	Blank form	Appendix 2, Document B	Yes	Single	2 pages
Project Summary (Consortium)	Blank form	Appendix 2, Document B	Yes	Single	4 pages
<u>Body of Proposal/Research Strategy</u> • Specific Aims • Significance • Innovation	Blank form	Appendix 2, Document C	Yes	Double	15 pages for individual applications, 25 pages for consortium applications. The 15- and 25-page limitations are for the following sections combined: • Body of Proposal/Research Strategy • Approach and Project Activities • Facilities, Equipment, & Resources
Approach and Project Activities (including timetable)	Blank form	Appendix 2, Document D	Yes	Double	15 pages for individual applications, 25 pages for consortium applications. The 15- and 25-page limitations are for the following sections combined: • Body of Proposal/Research Strategy • Approach and Project Activities Facilities, Equipment, & Resources
Facilities, Equipment & Resources	Blank form	Appendix 2, Document E	Yes	Double	15 pages for individual applications, 25 pages for consortium applications. The 15- and 25-page limitations are for the

Component	Fillable Form?	Appendix	1-inch Margins Arial, 12 pt. Font	Line Spacing	Page Limitation
					following sections combined: • Body of Proposal/Research Strategy • Approach and Project Activities Facilities, Equipment, & Resources
Budget, Appendix 1 (Document F)	Yes	Appendix 3 (Budget Template)	N/A	N/A	N/A
Budget Justification	Blank form	Appendix 2, Document F1 (Exhibit B1)	Yes	Single	2 pages
Three (3) Letters of Support or For Consortium Applicants, one (1) Letter of Commitment from each collaborator	No, see example in Appendix 1	Submit with application as separate document	N/A	N/A	2 pages per letter
Biographical Sketch(es)	Yes	Appendix 2, Document G3	Yes	Single	2 pages per biosketch
Organization Chart	No, see example in Appendix 1	Submit with application as separate document	N/A	N/A	1 page
Form STD 204 OR Form CDPH 9083	Yes	Appendix 4	N/A	N/A	N/A

Document A. Project Application Face Sheet

All applicants, whether individual or consortium, must complete Document A (Project Application Face Sheet) In Item 1, Research Topic, indicate the research area or topic by checking the appropriate box. Applications cannot include multiple research areas or topics. A separate application must be submitted for each research area or topic. Item 2, Project Title, specify the proposed name of the project. In Item 3, Award Type, specify if you are applying for an Individual Investigator or Consortium Research Award, and in Item 4, Award Term, mark the anticipated grant term for the research project. The grant term must align with State of California fiscal years, beginning with July 1, 2024 or upon final approval in Year 1, then July 1, 2025 in Year 2, and so forth. Complete Items 5 through 11. For Item 11, a person authorized to sign on behalf of the applicant institution must execute the required signature. Signature must be in blue ink. Failure to complete any items on the Project Application Face Sheet will be viewed as non-responsive and the RFA will not be considered for funding.

The Project Application Face Sheet is a fillable form that provides ADP information about the applicant. This form must not exceed one (1) page.

Document A1. Consortium Application: Collaborating Institutions Instructions

Lead applicants of consortiums must complete Document A1. Each consortium must include a Letter of Commitment from each collaborating institution and attach the letters to A1. Failure to include the Letter(s) of Commitment will be viewed as non-responsive and the application may not be considered for funding.

Document B. Project Summary Instructions

The Project Summary is a blank form.

- Individual Investigator Applications – must not exceed 2 pages, single spaced, Arial 12 pt. font.
- Consortium Applications – must not except 4 pages, single spaced, Arial 12 pt. font.

Include in the project summary as follows:

1. Provide a summarized description of the project.
2. List proposed staff who will be engaged in the research. Describe the duties and qualifications of each. Indicate the staff’s percentage of time’s involvement to be funded by this RFA award.
3. Describe the management plan to oversee the project.
4. Subawardees and consultants must be identified, their qualifications set forth, and a description of the work they are to perform provided in detail.

Document C. Body of Proposal/Research Strategy Instructions

Formatting Requirements: Maximum 15 pages for individual applications, double spaced, Arial 12 pt. font. Maximum 25 pages for consortium applications, double spaced, Arial 12 pt. font.

The Body of Proposal/Research Strategy must include the following three (3) sections: Specific Aims; Significance; and Innovation. Details for each section is described below.

1. Specific Aims (maximum recommended length of the Specific Aims is one page)
    a. The purpose of the Specific Aims is to describe concisely and realistically the goals of the proposed research and summarize the expected outcome(s), including the impact of the proposed research on the research fields involved.
    b. The Specific Aims should cover broad short-term and long-term goals; the specific objectives and hypotheses to be tested; summarize expected outcomes; and describe impact on the research field.

2. Significance (approximately one to two pages) – include a narrative response in their project summary that describes the following information:
    a. Population(s) of focus
    b. County(ies) where research will be conducted
    c. Justification for population(s) selected with supporting data
    d. How the proposed research project can contribute to eliminating health disparities and improving health equity
    e. Rationale for the proposed approach with supporting scientific data
    f. Explain the importance of the problem or describe the critical barrier to progress in the field that is being addressed. This section should also include the significance of the proposed research and relevance to public health. Explain how the proposed research project will improve scientific knowledge, technical capability, and/or clinical practice in one or more broad fields. Describe how the concepts, methods, technologies, treatments, services, or preventative interventions that drive this field will be changed if the proposed aims are achieved.
    g. Include the state of existing knowledge, including literature citations and highlights of relevant data; the rationale of the proposed research; explain gaps that the project is intended to fill; and potential contribution of this research to the scientific field(s) and public health.

3. Innovation (one page)
    a. Explain how the application challenges and seeks to shift current research or clinical practice paradigms. Describe any novel theoretical concepts, approaches, or methodologies, instrumentation, or interventions to be developed or used, and any advantage over existing methodologies, instrumentation, or interventions. Explain any refinements improvements, or new applications of theoretical concepts, approaches or methodologies, instrumentation, or interventions.
    b. The Innovation section should include the following: explain why concepts and methods are novel to the research field, focus on innovation in study design and outcomes, and summarize novel findings to be presented as preliminary data in the Approach section.

Document D. Approach and Project Activities Instructions

1. Approach – discuss your approach to the research with the following information (5-6 pages):
    a. Purpose – describe how the research will be carried out. This section is crucial to how favorably an application is reviewed.
    b. Research Design and Methods – this section should include the following:
    c. Principal Investigator’s preliminary studies, data, and experience relevant to the application and the experimental design;
    d. Overview of the experimental design;
    e. Description of methods and analyses to be used to accomplish the specific aims of the project;
    f. Discussion of potential difficulties and limitations and how these will be overcome or mitigated; and
    g. Expected results, and alternative approaches that will be used if unexpected results are found

2. Project Activities – provide a timetable with specific milestones.
    a. Include deliverables that will be submitted with each progress report. Deliverables are tangible things that will be produced to demonstrate the achievementof each activity.

An example of a timetable is provided on the next page:

<u>A separate timeline must be submitted for each year of the project. Please follow this sample format.</u>

Title of Project: Evaluation of Memory Training Modules in Individuals with Moderate Alzheimer's Disease

Year 1: 07/01/2024 – 06/30/2025

O = Ongoing C = Complete

Major Activity, Task or Function	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun
Hire Project Coordinator	C											
Obtain IRB approval	O	C										
Develop/Revise Training Materials		O	C									
Hire Research Assistant #1			C									
Hire Research Assistant #2			C									
Train RAs in test administration, scoring, and training modules			O	C								
Begin subject recruitment and training for Project #1				O	O	O	O	O	O	O	O	C
Evaluation of training modules						O	O	O	O	O	O	O
Data entry into database				O	O	O	O	O	O	O	O	C

Document E. Facilities, Equipment & Resources Instructions

Describe available facilities, major equipment, and resources. Describe the scientific environment and institutional setting in which the proposed project will be carried out.

The recommended length is one to two pages.

Document F. Budget Instructions

Complete the proposed Budget using **the fillable Excel workbook found in Appendix 3, Budget Template**.

- Use only whole numbers for the budget. **Cents must be rounded to the nearest whole dollar.**
- Ensure the combined total dollar amount for each state fiscal year does not exceed the stated maximum amount allowed in the grant. The maximum grant amount requested, per year, including indirect costs, may not exceed:
    1. Individual Investigator Awards - **$500,000** (per year)
    2. Consortium Awards - **$1,200,000** (per year per award, not per Institution).

Attach spreadsheet as an additional document.

How to Calculate the Four (4) Budget Categories

1. **Personnel Costs**
    1. List each position by title, required to complete the Scope of Work activities throughout the term of the grant.
    2. **Position Titles in the budget justification must be consistent with the titles listed in the Scope of Work Responsible Parties section**.
    3. **Designate a lead staff position to provide a minimum required 50% FTE per week and oversight of evaluation activities i.e., Project Director.**
    4. Positions budgeted under Personnel Costs must have a direct role connected to activities in the Scope of Work.
    5. Include all leave time (vacation, sick leave, military leave, etc.) inPersonnel Costs.
    6. For each position, provide a brief description of the duties, responsibilities,and activities to be performed. Identify and document any Personnel that will not receive Fringe Benefits.
    7. Provide a formula to substantiate how costs were calculated forPersonnel.
    8. Salary X percentage (%) of FTE X number of pay periods = AmountRequested by state fiscal year.

Salary Range:

- If the precise salary is known, apply that salary in the formula; if the position is not currently filled and the precise final salary is unknown, indicate the range for the position classification. Select the low, middle, orhigh end of the salary range to include in the formula, based on agency hiring policies, degree of expertise required, or agency budgeting standards.
- Include any cost-of-living adjustments for all state fiscal years.
- Salaries should be comparable to CALHR. Refer to CALHR Pay Scales. Applicants may reference the Civil Service Pay Scales alphabetically byclass title to identify personnel titles and applicable salary cap(s).

Percentage of FTE:

- 100% FTE equals 2,080 hours annually, including paid leave.
- Personnel working 80 hours in a two-week period are 100% FTE.
- Personnel working 20 hours in a 40-hour work week are 50% FTE.
- When the percentage of FTE varies from month to month, enter a range(i.e., 30%-40% FTE). Enter the average percentage into the final calculation.

Number of Pay Periods:

- Monthly = 12 pay periods per year.
- Semi-monthly = 24 pay periods per year.
- Bi-weekly = 26 pay periods per year.
- Weekly = 52 pay periods per year.
- Hourly = “X” number of hours per pay period (do not use FTE percentagesif a position is paid hourly).

Sample formulas for Personnel Costs:

- $2,000 x 50% FTE x 24 pay periods = $24,000 (semi-monthly).
- $2,000 x 100% FTE x 26 pay periods = $52,000 (bi-weekly).
- $20 per hour x 100 monthly hours x 12 months = $24,000 hourly statefiscal year total.

2. Fringe Benefits

- List each fringe benefit that will be provided to eligible personnel.
- Identify any personnel that will not receive benefits.
- List the fringe benefit percentage and total amount requested for each state fiscal year.
- Provide a range if the fringe benefit percentage rate will vary between Personnel or at different times within the state fiscal year.
- Anticipate any increases in the fringe benefit rate over the three-year project term.

- Fringe Benefits may not include the following:
    - Employee vacation or sick leave accruals earned outside the allocation term.
    - Workers' compensation claims. (Budget for premiums only).
- Budget at actual costs for each eligible employee.
- Sample formula for Fringe Benefits:
  $75,000 annual salary cost x 35% fringe benefit rate = $26,250 fringe benefit state fiscal year total.

Sample formula for Internet:
\# FTE x $_____per month x # months = $__________.

3. Project Travel/Training

a. Provide a travel estimate for each event with the following information:
- Number and position of project staff traveling
- Airfare, lodging and mileage expenses and incidental expenses, if applicable. Expenses must be at CalHR rates.
- University of California and California State University applicants must adhere to University Travel Guidelines.
- For training, include registration fees for staff development or any other additional training events for professional, clerical, administrative personnel, etc., necessary for the completion of activities.

b. Please note: IN- AND OUT-OF-STATE TRAVEL MAY ONLY BE REIMBURSED IF SUCH TRAVEL HAS BEEN APPROVED IN ADVANCE BY ADP.

c. Please see the "CalHR website." for more information.

Sample formula for Project Travel/Training:
1. Lodging formula: 2 project travelers x $80 per traveler x 2 nights = $320 lodging total
2. Per Diem formula: 2 project travelers x $40 per person per dayx 3 days = $240 per diem total
3. Mileage formula: 1 project traveler x 400 miles x $.565 per mile = $226 mileage total
4. Airfare formula: 2 travelers x $640 round trip airfare = $1,280 airfare total

4. Materials and Supplies
- Budget for consumable office supplies such as: paper, copier toner, pens, pencils, folders, binders, staplers, etc.
- Provide a list of supplies needed for the project and an estimated budgetamount.

5. Equipment
- Rental Equipment will be authorized by the CDPH ADP on a case-

by-case basis.

- Leasing/renting to own, purchase/leaseback, and lease/purchase ofequipment is not permitted.
- List all lease/rental equipment that will be charged to this grant and justify in detail.
- Provide the monthly lease/rental rate for each item and the number of thelease/rental months.
- Provide budget totals for each piece of equipment leased/rented. Examples of leased/rental items are desktop workstations that includecomputers, printers, facsimile machines, scanners, and copiers.
- Provide the estimated budget amount needed for each state fiscal year.

Sample formula for Equipment Lease/Rental:

$50 monthly lease rental for copier x 12 months = $600 state fiscal year total.

6. Consultants/Subrecipients:

1. A Consultant is an individual who:
   - Directly benefits the grantee(s) only and not the general public.
   - Possesses a level or area of expertise that extends beyond those held by the research project staff.
   - Supports the skills and effort of the research project staff but does not duplicate those skills or effort.
   - Provides technical advice on programmatic activities and problem solve issues.
   - Charges an hourly rate that is inclusive of all expenses.

2. In the description of the Consultants line item, separately list the name of each consultant who will provide the specialized effort directly related to activities. Provide the following details:
   - Name of each subrecipient and/or consultant. Identify subrecipients and/or consultants, who have not been selected at the time of submission, as “To Be Determined.”
   - Subrecipient’s and/or consultant’s resumé (as a separate attachment)
   - Description of the activities/services to be performed.
   - Amount of service time in increments of hours, days, weeks and months.
   - Salary or hourly rate.
   - Formula indicating how costs were determined and the total cost.
   - The salary/hourly rate must correspond to education and experience.
   - Provide a detailed justification when the salary/hourly rate is budgeted at a salary/rate that exceeds the amount paid to state personnel for similar position/classifications.

   Sample formula for Subrecipients and Consultants:

- Consultant: $65 hourly rate x 10 hours monthly x 12 months = $7,800 state fiscal year
- Total Subrecipient: $1,500 monthly salary + $750 fringe benefits cost monthly + $120 travel cost monthly + $338 indirect cost monthly = $2,708 monthly total x 12 months = $32,496 state fiscal year total

7. **Other Direct Costs**
   a. Other Costs include costs related to completing the project activities not listed in Operating Expenses.
   b. Space Rent/Lease:
      - Budget project Space Rent/Lease costs at a maximum of 150 square feet per FTE plus reasonable square footage for common space, such as: conference rooms, break room(s), restrooms, storage, library, etc.
      - Separate formulas for office space and common space are acceptable.
      - Provide a detailed justification if project space exceeds 150 square feet per FTE and/or the amount of shared space is significant.
      - Include any space cost increases over the project term.

      Sample formula for space rent/lease:
      1.4 FTE x 150 square feet x $1.20 per square foot x 12 months = $3,024.

8. **Indirect Costs**
   a. An indirect cost rate (ICR) is simply a device for determining fairly and conveniently within the boundaries of sound administrative principles, what proportion of indirect cost each program should bear. An indirect cost rate is the ratio between the total indirect expenses and direct cost base. **Indirect costs cannot exceed 40% of total personnel services (Personnel Costs plus Fringe Benefits).** For University of California (UC) and California State University (CSU) applicants, please visit the UC Office of the President website for specific ICR requirements.

   b. Indirect costs are a general management cost that cannot be attributed to a specific Scope of Work activity and consists of administrative services necessary for the general operation of the agency.

   c. Examples include accounting, budgeting, payroll preparation, human resources services, purchasing, maintenance, centralized network, and data processing.

d. Conversely, direct costs are costs that provide measurable, direct benefits to specific Scope of Work activities and can include costs that relate directly to instructional programs and support costs that apply to the minor services necessary to support the program, such as: salaries and benefits, educational materials, office supplies, and travel. An indirect cost rate is the percentage of an agency's total personnel costs (personnel + fringe benefits) or total direct costs and is a standardized formula charging shared costs for an agency's indirect operation.

e. Identify:
- The cost basis for calculating indirect expenses, i.e., total personal costs or total direct cost.
- Percentage rate. The percentage rate is negotiated between ADP and the grantee. A range is acceptable when the percentage rate will vary at different times during the state fiscal year or between multiple state fiscal years.
- Include personnel, budgeted at less than 10% FTE, and not directly connected to the Scope of Work.
- Indirect costs <u>cannot exceed 40% of total personnel services</u> (Personnel Costs plus Fringe Benefits).

Sample formula for Indirect Expenses:
$50,000 staff salaries total + $20,000 staff fringe benefits total = $70,000 total personnel costs x 25% = $17,500 indirect cost state fiscal year total.

Document F1. Budget Justification Instructions

Complete the Budget Justification section found in Exhibit B1 of Appendix 2. Single spaced, Arial 12 pt. font.
Note:
- If each year's budget is essentially the same, one overall narrative is sufficient.
- If there are significant changes from year to year, a narrative for each year is required.
- A formal grant amendment will be required if total available funding increases or decreases.
- The amounts are derived from the California State General Fund. The amount of the grant award is contingent upon annual appropriations by the California State Legislature and available State Funds.
- Verify each activity in the Scope of Work that results in an expenditure of funds is adequately reflected in the budget.

1. **Personnel**
   a. **Name.** Starting with the Principal Investigator, list the names of all known personnel who will be involved on the project for each year of the proposed project period. Include all collaborating investigators, individuals

in training, technical and support staff or include as “to be determined” (TBD).

b. **Role on Project.** For all personnel by name, position, function, and a percentage level of effort (as appropriate), include “to-be-determined” positions.
c. **Fringe Benefits.** Explain the costs included in the budgeted fringe benefit. UC and CSU applicants must adhere to university policies, which could include tuition/fee remission for qualifying personnel to estimate the fringe benefit expenses on Exhibit B.

2. Travel

a. For UC or CSU applicants, itemize all travel requests separately by trip and justify in Exhibit B1, in accordance with University travel guidelines. All other applicants must use CalHR rates.
b. Provide the purpose, destination, travelers (name or position/role), and duration of each trip.
c. Include detail on airfare, lodging and mileage expenses, if applicable.
d. Should the application include a request for travel outside of the state of California, justify the need for those out-of-state trips separately and completely.

3. Materials and Supplies

a. Itemize materials supplies in separate categories.
b. Include a complete justification of the project’s need for these items.
c. Theft sensitive equipment (under $5,000) must be justified and tracked separately in accordance with State Contracting Manual Section 7.29.

4. Equipment

List each item of equipment (greater than or equal to $5,000 with a useful life of more than one year) with amount requested separately and justify each.

5. Consultant Costs

Consultants are individuals/organizations who provide expert advisory or other services for brief or limited periods and do not provide a percentage of effort to the project or program. Consultants are not involved in the scientific or technical direction of the project as a whole.

a. Provide the names, resumés, and organizational affiliations of all consultants.
b. Describe the services to be performed, and include the number of days of anticipated consultation, the expected rate of compensation, travel, per diem, and other related costs.

6. Subawardee (Consortium Collaborating Institution) Costs

a. Each consortium collaborating institution must submit a separate detailed budget for every year in the project period in Exhibit B2 Subawardee Budget.
b. Include a complete justification for the need for any subawardee listed in

the application.

7. **Other Direct Costs**
    a. Itemize any other expenses by category and cost. Specifically justify costs that may typically be treated as indirect costs. For example, if insurance, telecommunication, or IT costs are charged as a direct expense, explain reason and methodology.
    b. **Rent.** If the Project Activities will be performed in an off-campus facility rented from a third party for a specific project or projects, then rent may be charged as a direct expense to the award.

8. **Indirect (F&A) Costs**
    a. Indirect costs are calculated in accordance with the budgeted indirect cost rate in Exhibit B.

Document G. Additional Documents Instructions

The application must include the following additional documents as attachments.
1. Budget (Exhibit B) – attach completed Excel spreadsheet from Appendix 3
2. Letters of Support; for Consortium Applicants, Letters of Commitment
3. Biographical Sketch(es)
4. Consultants' Resumés
5. Organization Chart
6. Form STD 204 or Form CDPH 9083; template in Appendix 4

1. Budget (Exhibit B)

See instructions for Document F. Budget Template Instructions on the Guide sheet of Exhibit B.

2. Letters of Support

Individual applicants must submit three (3) letters of support (i.e., letter of recommendation) from previous or current funders or partner organizations who can confirm the applicant's ability to meet the requirements of the application. Obtain letters from each organization. Each letter should be signed by the organization and should describe their working relationship with the applicant. Each letter must not exceed two (2) pages.

Consortium applicants must submit one (1) letter of commitment from each collaborating institution who will provide expertise required by the content of the application. Each letter should be signed by the collaborator and should list the contribution they intend to make and their commitment to the work. Each letter must not exceed two (2) pages.

Failure to include the Letters of Support/Commitment will be viewed as non-responsive and the application may not be considered for funding.

A sample letter is provided below. [Text in brackets] specify key information needed.

Sample Letter of Support

[Put letter on organization/agency letterhead]
[Date]

[Authorized representative(s) to make commitment on behalf of the institution][Legal Name of Collaborating Partner]
[Mailing address]

Body Text

Sincerely,
Signature
[Insert Name and Position]

3. **Biographical Sketches**

Using the fillable form, provide the following information:

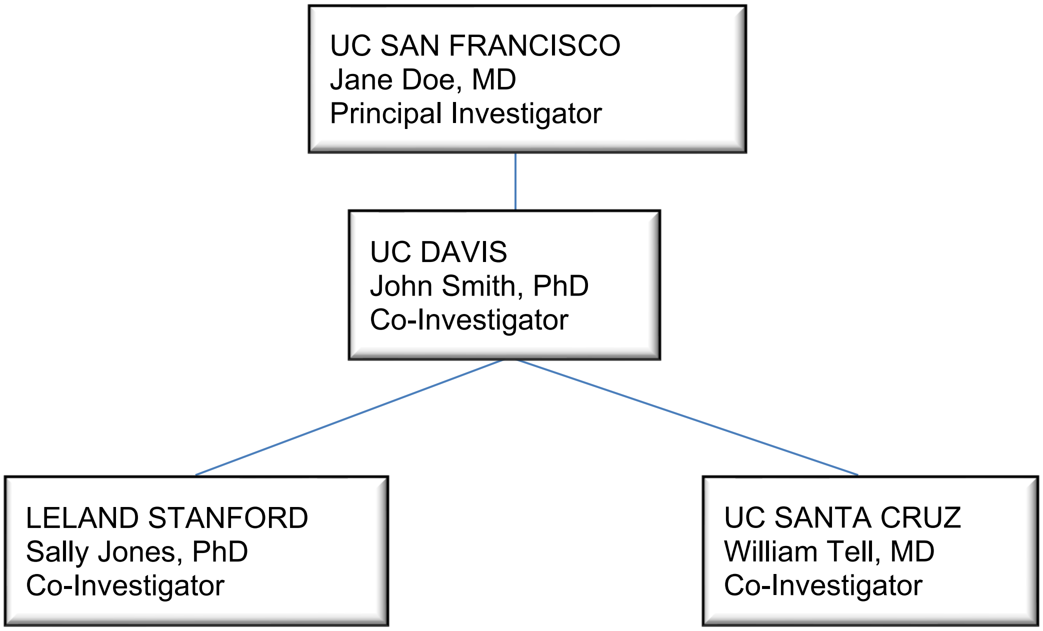
a. Starting with current position, list in reverse chronological order previous employment, experience, and honors. Include present membership on any Federal Government Public Advisory Committee.
b. List, in reverse chronological order, the titles and complete references to all publications during the past three years, and to any earlier publications pertinent to this application.
c. Do not exceed two pages for each biographical sketch.

4. **Consultants' Resumés**

Submit consultants' resumés as attachments.

5. **Organization Chart**

Provide an organization chart showing the location and the persons responsible for the proposed research project, including for each participating institution in Consortium Research Award applications. A sample organization chart is provided on the next page.



6. **Form STD 204 or Form CDPH 9083**

Complete as shown in Appendix 4.