

Chan Zuckerberg Initiative

APPLICATION INSTRUCTIONS Essential Open Source Software for Science (Cycle 3)

Some helpful information as you get started:

- This document contains:
 - [General guidance on using the portal](#)
 - [How to submit an application](#)
 - [Application details specific to this EOSS RFA](#)

- Please review the [Request for Applications](#).

- The Chan Zuckerberg Initiative uses SurveyMonkey Apply (SMAppl) as its grants management portal. All applications must be submitted through this portal (<https://apply.chanzuckerberg.com>). SMAppl is configured to work best using the Google Chrome browser. It is recommended that you familiarize yourself with this portal well in advance of any deadlines. Deadline extensions will not be granted.

- **Important Dates:**

Cycle	Portal opening date	Application due date	Notification of decisions	Earliest start date of grant
1 NOW CLOSED	June 18, 2019	August 1, 2019	Late October 2019	December 1, 2019
2 NOW CLOSED	December 16, 2019	February 4, 2020	May 1, 2020	July 1, 2020
3	June 16, 2020 at 9 am Pacific Time	August 4, 2020 by 5 pm Pacific Time	November 2020	January 1, 2021

- **Application specifics:**

- **Award Period:** Proposals should be one year in duration. Actual start date may vary.
- **Budget:** Applications can request funding between \$50k and \$250k total costs (inclusive of up to 15% for indirect/overhead costs). Budgets will be evaluated for appropriateness relative to the scope of work proposed. Indirect costs cannot exceed 15% of direct costs.

GETTING STARTED

Account setup: The applicant (i.e., the person completing the application on behalf of the applicant organization) must first set up an account in the CZI online grants portal at <https://apply.chanzuckerberg.com/>.

To set up an account:

1. Go to <https://apply.chanzuckerberg.com/>.
2. Click the green Register button in the upper right corner.
3. Complete the requested fields and then click the green Create Account button.
4. Click the green Continue button to proceed to the site.

Please note you will need to verify your account through the auto-email that you receive after registering. You will not be able to submit an application until your account is verified.

Personal Data: Where we ask for personal data of individuals in grant applications, please only submit personal data that you have a right to provide. We will use and store any personal data collected through the application process for grant-related purposes (e.g., administering the grant, decision-making related to grants, and analysis of our grant practices), subject to the limitation in Applicant Details Part 2. Chan Zuckerberg Initiative will be the “data controller” for any such personal information, and the data may be stored on servers outside of your home country, including within the United States. If you have any questions or concerns regarding our privacy practices or collection or use of personal data, you can contact us at privacy@chanzuckerberg.com.

Navigating the portal: Once you have set up an account, you can log in to the grants portal at <https://apply.chanzuckerberg.com/>. Using the links in the upper right corner, you can access available programs (which includes RFAs for all CZI areas, not just science) and any applications you have in preparation or previously submitted. Use the information (“i”) link to get help with the portal. To access your account information, click on your name in the upper right corner. Your application will pre-populate with the name and email listed in your account information; if you need to edit it, click on your name in the upper right corner to make any necessary changes.

Forgotten username or password: If you have forgotten your username or password, please navigate to the grants portal at <https://apply.chanzuckerberg.com/> and click on the Log In link located in the upper right corner. Click the Forgot your password link and then enter the email address associated with your SMapply account. You will then receive an email with information to reset your password. Please note that your username is your email address.

Other questions: If you have other questions about using the portal, please use the information (“i”) link in the upper right corner of the window, where you will find a link to FAQs about using the portal, as well as links to submit specific help requests. If you have specific questions about the RFA, please contact us at sciencegrants@chanzuckerberg.com.

SUBMITTING AN APPLICATION

To submit an application:

1. Go to <https://apply.chanzuckerberg.com>.
2. Log in.
3. Click the green View Programs button that is displayed or click on the Programs link in the upper right corner. This will bring you to a listing of all programs/RFAs that CZI is hosting in SMapply. To **find the program/RFA** you are looking for, you may need to scroll down.
4. Find the program/RFA you are interested in and click the green More button.
5. Click the green Apply button in the upper right and complete all sections (details below).
 - a. You will first be prompted to **enter the title** of your application, after which you will have access to the application tasks to complete. Proposal title is limited to 75 characters, including spaces. If you need to **edit your proposal title**, click on the My Applications link in upper right and click the green Continue button on the application you wish to edit. Once the application page opens, click on the three dots to the right of the application title (next to the Preview link) and select Rename from the dropdown menu.
 - b. The application is made up of several sections called tasks that are listed in the menu on the left side of the page. To **open a task**, click on the one you would like to work on. You can edit and complete tasks in any order. You may need to scroll down to see the remaining tasks.
 - c. Once you **complete a task**, click the green Mark as Complete button within the task. All tasks must be marked as complete before submitting. To **edit a task** after marking it as complete, click the three dots in the upper right of the task and select edit, which will re-open the task.
 - d. Your application will autosave every few seconds, but you can also click the Save & Continue Editing on each task as you go along to **save your application**.
 - e. In the tasks that require a PDF upload: If you need to **delete and replace a PDF** after you have uploaded it, click on the three dots to the right of the file under the Attach File section within the task and select Remove from the dropdown menu.
 - f. To **download your application**, click on the three dots in the upper right corner of the application page and select download. If you are within a task, first click on the Back to application link in the upper left. Please **be aware of any pop-up blockers** in your browser that may prevent downloading your application.
 - g. To **access an application that you have previously saved**, click on the My Applications link in upper right and click the green Continue button on the application you wish to edit.
6. Once all required tasks are completed, click the green Review & Submit button **to submit your application**.
 - a. If the button is grayed out, it means your application is not yet complete— please

be sure all required fields and uploads are complete within each task and that you have clicked the Mark as Complete button within each task.

- b. To **download your application**, click on the download link in the upper right corner. Please be mindful of **any pop-up blockers** that may be active in your browser that prevent/hide downloads.
 - c. Review your application in the window (or in the PDF that you have downloaded). If you want to make changes, navigate back to your application and reopen/edit any tasks that need editing. **It is strongly recommended that you download your application as a PDF (instructions above in part b) to review your application before clicking submit.**
 - d. Once you are **ready to submit**, click the green Submit Your Application button on the left side of the window. You will need to confirm your submission by clicking the green Submit button in the pop up window. **Once your application has been submitted, it cannot be edited. Please be sure that your application is complete BEFORE submitting.** If you inadvertently submit your application and it is before the deadline, please contact sciencegrants@chanzuckerberg.com.
7. Once your application is submitted, you will **receive an auto-email** confirming submission within a few minutes. If you do not receive a confirmation email within a few minutes, please check your spam folder. If you still did not receive your confirmation email, please email sciencegrants@chanzuckerberg.com.
 8. If you would like to view your application after you have submitted it, you can access it through the My Applications link in the upper right corner.

For the purpose of the application, we will use the following terms:

- **Applicant:** The person submitting the application materials on behalf of the software project(s)
- **Organization:** The organization directly receiving and distributing funding
- **Software Project(s):** The software project(s) that will be supported by the funding
- **Proposal:** The proposed use of funding
- **Key Personnel:** People involved in the software project(s) described in the proposal and supported by the funding

The application consists of the following sections (called tasks in the grants portal): Applicant Details Part 1, Applicant Details Part 2, Organization Details, Proposal Details, Optional Attachments, CV of Applicant, Budget Description, Number of Open Source Software Projects, Open Source Software Project Details

- **Applicant Details Part 1:** Complete all fields in this task; **all fields are required.** The information entered should be for the individual submitting the application who will act as the main person responsible for the application and as its point of contact. Information about other Key Personnel on the proposal should be entered where requested in the Software Project Details part of the application.
 1. First Name
 2. Last name
 3. Degrees
 4. Email
 5. Current employer/affiliation (enter n/a if self-employed/unemployed)

6. Title/Position
7. Country of Residence
8. Applicant Organization: Organization that would be directly receiving and distributing funding if a grant is successfully awarded. Note that this may be different from the Applicant's main affiliation/current employer.
9. Short narrative biography of the applicant (maximum of 100 words)

- **Applicant Details Part 2: Equal Opportunity & Diversity:** CZI Science supports the science and technology that will make it possible to cure, prevent, or manage all diseases by the end of this century. Everyone is affected by disease, yet different communities are affected by or experience disease in different ways. Moreover, due to systemic barriers, the scientific enterprise itself is not a place where all voices and talents thrive. We believe the strongest scientific teams — encompassing ourselves, our grantees, and our partners — incorporate a wide range of lived experiences and perspectives that guide them to the most important unsolved problems. To enable our work, we incorporate diverse perspectives into our strategy and processes, and we also seek to empower community partners to engage in science.

We track demographic information associated with applications submitted to CZI in response to our open calls. Based on our learnings, we take steps to broaden or adjust our strategies to improve our reach and to help ensure members of underrepresented or marginalized groups in science are aware of CZI opportunities and able to apply. **Please note that completing the below is voluntary, and demographic information will not be used in grant funding decisions.** All responses will be shared only with limited personnel, who will use that information only for the purposes described in this paragraph.

If you have any additional questions about why we ask this, what we do with the data, or to share suggestions for improvement, feel free to reach out to sciencegrants@chanzuckerberg.com.

The information entered should be for the individual submitting the application who will act as the main person responsible for the application and as its point of contact. **Please note that completing the below is voluntary, and demographic information will not be used in grant funding decisions.**

1. What is your gender? (optional)
2. Are you transgender? (optional)
3. Are you a member of the LGBTQ community? (optional)
4. What is your race/ethnicity? (optional)
5. What is the year of your last academic degree? (optional)

- **Organization Details:** Complete all sections in this task; **all sections are required.** The information entered should be for the organization that would be directly receiving and distributing funding if a grant is successfully awarded (e.g., academic institution, fiscal sponsor). Note that this may be different from the Applicant's main affiliation.
 1. Type of Organization: academic, other non-profit, industry/company, government, fiscal sponsor, fiscal sponsor not yet identified, or other (required)
 2. Organization:
 - Name, Address, City, State/Province and Country

- Tax ID: If your organization has an Employer Identification Number (EIN), as assigned by the United States Internal Revenue Service, enter it in the 9-digit format (XX-XXXXXXX; 10 characters total). Organizations who do not have an EIN should enter 44-4444444
 - Organization website
 - 3. Organizational/Administrative Contact: List the name and contact information for the administrative contact to discuss additional information needed, if selected for award.
 - First name, Last name, Title/Position, Email
 - 4. Signing Official: List the name and contact information for the person authorized to sign on behalf of your organization.
 - First name, Last name, Title/Position, Email
 - 5. Press Contact / Public Relations Official: List the name and contact information for the person to discuss press releases and media.
 - First name, Last name, Title/Position, Email
 - 6. Institutional Approval Form: This [form](#) should be reviewed and signed by a person authorized to sign on behalf of your organization or fiscal sponsor — whichever organization that will be receiving the grant funds, if the application is selected for funding — agreeing to the stated institutional and applicant requirements and commitments on data, resource sharing, and publication policies, as well as endorsing/verifying your application materials and confirming their ability to receive funding for the proposal. If successfully awarded, applicants may be asked to provide additional information on the governance of the proposal and its ability to receive and use the funds. **If you do not have an organization identified to receive funds, the applicant should sign the form and note on the form that a fiscal sponsor has not been identified.** Upload as a single PDF. **This upload is not designed to support encrypted documents or digital signatures; please print, sign, scan and upload this form as a PDF (required).**
- **Proposal Details**: Complete all sections in this task. **All sections are required.**
 1. Proposal Title: Auto filled. If you need to edit your proposal title, navigate to your application summary page; click on the three dots to the right of the application title (next to the Preview link); and select Rename from the dropdown menu (maximum of 75 characters, including spaces)
 2. Did you previously apply for funding for this or a related proposal under the CZI EOSS program? If yes, please enter the application number, e.g. EOSS-0000005345 or EOSS2-0000005145
 3. Have you previously received funding for this proposal under the CZI EOSS program? If yes, please enter the application number, e.g. EOSS-0000005345 or EOSS2-0000005145
 - a. Progress Report: Provide a short summary of progress towards the deliverables in your currently funded proposal (maximum of 250 words)
 4. Proposal Purpose: One sentence (maximum of 255 characters including spaces)
 5. Amount Requested: Enter total budget amount requested in USD, including indirect costs; this number should be between \$50k and \$250k total costs and match total described in the Budget Description

6. Abstract/Proposal Summary: A short summary of the application (maximum of 250 words)
 7. Work Plan: A description of the proposed work the applicants are requesting funding for, including resources the applicants will provide that are not part of the requested funding. For software development related work (e.g., engineering, product design, user research), specify how the work fits into the existing software project roadmap. For community outreach related activities (e.g., sprints, training), specify how these activities will be organized, the target audience, and expected outcomes (maximum of 750 words)
 8. Milestones and Deliverables: List expected milestones and deliverables, and their expected timeline. Be specific and include (where possible) any goals for metrics the software project(s) are expected to reach upon completion of the grant (maximum of 500 words)
 9. Existing Support: List current and recent financial or in-kind support for the software project(s), including duration, amount in USD, and source of funding. Include in this section any previous funding for these software projects received from CZI (maximum of 250 words)
 10. Landscape Analysis: Briefly describe the other software tools (either proprietary or open source) that the audience for this proposal is primarily using. How do the software projects in this proposal compare to these other tools in terms of size of user base, usage, and maturity? How do existing tools and the project(s) in this proposal interact? (maximum of 250 words)
 11. Diversity, Equity, and Inclusion (DEI) Statement: Advancing DEI is a [core value](#) for CZI, and we are requesting information on your efforts in this area. Describe any efforts the software project(s) named in this proposal have undertaken to increase diversity, equity, and inclusion with respect to their contributors and audience. Please see [examples](#) from successful second cycle applications (maximum of 250 words)
- **Optional Attachments**: Upload in PDF format; attachments should be uploaded in a combined single PDF. Include up to three pages of additional information. This section can include figures, charts and tables, references for the proposal, or any additional material in support of the proposal (maximum of three pages)
 - **CV of the Applicant** (the person submitting the application): Upload in PDF format; include current and recent employment, education history, and references to any major publications, software contributions, or other relevant outputs (maximum of two pages)
 - **Budget Description**: Upload in PDF format; budgets can be uploaded in a combined single PDF or one PDF for each software project (one page per software project maximum)
 - Description of the costs to be funded by this grant at a high level and in narrative or tabular form, outlining costs for personnel (including names, if known), supplies, equipment, travel, meetings/hackathons/sprints, subcontracts, other costs, and up to 15% indirect costs (excluding equipment and subcontracts).

- Indirect costs are limited to up to 15% of direct costs and are included within the annual budget total. Indirect costs may not be assessed on capital equipment or subcontracts, but subcontractors may include up to 15% indirect costs of their direct costs.
 - Budget should be requested in US dollars.
 - International grantees must use all grant funds exclusively for activities conducted outside the United States of America. Travel expenses to the United States (including round-trip tickets) should not be covered from the requested grant funds.
 - Application budgets must reflect the actual needs of the proposal. The Chan Zuckerberg Initiative will work closely with successful applicants to arrive at a mutually acceptable budget after review.
- **Number of Open Source Software Projects:** Indicate the number of software projects involved in your proposal (up to five). You can request funding for work that includes up to five open source software projects. If multiple software projects are involved, details must be entered for all of them. **If your proposal involves more than one software project, mark this step as complete so you can fill in the details for additional software projects. This section must be marked complete in order to proceed to the Open Source Software Project Details #2 - #5 tasks.** To change the number of software projects indicated after marking as complete, click the three dots in the upper right of the task and select edit, which will re-open the task.
 - **Open Source Software Project Details #1 - #5:** Depending upon your answer to the “Number of Open Source Software Projects” task above, the corresponding number of tasks—one for each software project indicated above—will appear (Open Source Software Project Details #1 will appear by default). **You may need to scroll down using the scroll bar in the task menu on the left side of the page to see these tasks.** For each task/software project in this section, please complete the following; all URLs should be in the format <https://example.com> and **only one primary link should be provided:**
 - Software Project Details: Complete the following for each software project that will be supported by the grant:
 1. Software project name (required)
 2. Homepage URL (required)
 3. Hosting platform (GitHub, GitLab, Bitbucket, Other) (required)
 4. Main code repository (e.g. GitHub URL) (required)
 5. DOI of major publication(s) describing software project (if applicable)
 6. Social media handles (if applicable)
 7. Do you or software project key personnel have commit rights to the code repositories for this software project? (required)
 8. Short description of the software project (maximum of 200 words) (required)
 - List of Known Key Personnel: Key personnel are people involved in the software project who will be supported by the grant if the application is successful. Complete the following for each (up to 5) (required); enter n/a if any field is not applicable. Personnel to be hired that has not been identified at this time can be listed in the budget section. You may need to use the scroll bar at the bottom of the table to scroll right to view and to complete all fields. Alternatively, you can tab to move through and complete the fields. **To add another person/row (up to five), click the box at the end of the row.**

We collect (optional) gender statistics about the applicant team in order to study the gender diversity of teams applying for funding and to learn about diversity trends in the field. **Please note that completing the gender statistics is voluntary, and will not be used in grant funding decisions.**

- Name
- Email address
- Current employer/affiliation (enter n/a if self-employed/unemployed)
- Job title
- Developer username if applicable (e.g., GitHub handle)
- Country of Residence
- Do any of the Key Personnel self-identify as one of the following? (optional)
 - Woman, Man, Non-binary/Third gender, Prefer to self describe
 - If yes, how many of the listed key personnel self-identify as one of the above gender identities? **Please do not include requested information on a per person basis; we are looking for aggregated information (optional)**

Software Project Metrics:

- Quality (required)
 1. What is the software project license?
 - Permissive license (BSD 3-Clause, MIT, Apache 2.0)
 - Copyleft license (e.g. GPL, LGPL)
 - Another [OSI-approved license](#)
 - Custom license/other (please specify)
 2. What is the main programming language?
 3. Does the software project have a code of conduct? If yes, provide a link. Example codes of conduct: <https://www.contributor-covenant.org/> or <https://www.mozilla.org/en-US/about/governance/policies/participation/>
 4. Does the software project have end-user documentation? If yes, provide a link.
 5. Does the software project have an issue tracker? If yes, provide a link.
 6. Does the software project have a community engagement/Q&A forum (self-hosted, on Stack Exchange, etc.)? If yes, provide a link.
 7. Does the software project have contribution/coding guidelines? If yes, provide a link.
 8. Are there examples or demo notebooks, scripts, and datasets? If yes, provide a link.
 9. Is there a corresponding package available in a package manager (PyPi, CRAN, etc.)? If yes, provide names and links.
 10. Does the software project use continuous integration for testing?
- Impact (optional): Provide metrics for each open source software project that will be supported by the grant to help us assess its impact and quality. **Providing metrics is optional and metrics can be approximate.** For each metric, provide a source, clarify how the metric was computed and/or provide any other comments. For monthly metrics, provide data from the most recent month for which the corresponding metric is available.
 1. List the number and explanation for each, if needed:

- Number of scholarly paper(s) (including preprints) citing or mentioning the software project
 - Number of monthly users, if applicable (based on one or more of the following: monthly downloads from websites, monthly downloads from package managers, monthly unique requests for updates, actual tracked usage, etc.)
 - Number of software projects that depend on the software project (if applicable)
 - Number of monthly visitors to software project's website, discussion forum (e.g. Stack Overflow, Discourse), or similar
2. Size of the largest potential user base:
- Estimate the potential number of unique users who could adopt this software project in the relevant field/discipline and explanation, if needed. You can use as guidance the number of users of comparable software projects, the number of papers published in the domain to which the software project is applicable, number of labs able to adopt the software project, etc.
 - 1-10;
 - 11-100;
 - 101-1,000;
 - 1001-10,000;
 - 10,001-100,000; or
 - over 100,000.
3. List of upstream, downstream, or related software projects that the team is contributing to or receiving contributions from.
4. Additional metrics from software project code repositories and package managers:
- Provide a short description of any considerations or caveats we should be aware of when computing metrics (e.g., a recent change in the name or hosting of the repository), or any additional information you would like to share about the software project's impact and quality (maximum of 500 words)

The formatting and component requirements, including word and page limits indicated above, will be enforced by the review team. Any submitted materials that exceed the word and page limits or do not follow the requirements will not be considered during the application review process.

QUESTIONS?

For administrative and programmatic inquiries pertaining to this RFA, please contact sciencegrants@chanzuckerberg.com.

For technical assistance with SMAApply, please contact support@smapply.io, or while logged into SMAApply, click on the information “i” link in the upper right corner and submit a help request ticket.