

**Research Subaward Agreement  
Amendment (Number 01)**

<b>Pass-through Entity (PTE)</b>		<b>Subrecipient</b>	
The Regents of the University of California		Chabot - Las Psitas Community College District -- Chabot College	
subcontracts@berkeley.edu		rgerhard@clpccd.org	
Gary Firestone		Agnello Braganza	
<b>Entity Name</b>		<b>Principal Investigator</b>	
<b>Email Address</b>			

**Project Title:** Berkeley Bridges to the Baccalaureate

<b>PTE Federal Award No:</b> 5R25GM095401-07 (FAIN: R25GM095401)	<b>Federal Awarding Agency:</b> National Institute of General Medical Sciences
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<b>Subaward Period of Performance:</b> Start Date: Jul 1, 2016 End Date: Mar 31, 2019	<b>Amount Funded This Action:</b> \$73,646.00	<b>Subaward No.</b> 00009232
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<b>Effective Date of Amendment:</b> Apr 1, 2017	<b>Total Amount of Federal Funds Obligated to Date:</b> \$110,468.00	<b>Subject to FFATA:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No	<b>Automatic Carryover:</b> <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No
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**Amendment(s) to Original Terms and Conditions**

This Amendment revises the above-referenced Research Subaward Agreement as follows:

**Action:**

In accordance with Article 7 of this Subaward's Terms and Conditions, the following non-substantive changes are being issued unilaterally. Unilateral modifications are considered valid 14 days after receipt unless otherwise indicated by the Subrecipient, when sent to the Subrecipient's Authorized Official Contact, as shown in Attachment 3B.

**CORRECTION TO SUBRECIPIENT PI NAME:**

Note that the Subrecipient PI's first name was misspelled in the Original Agreement. The correction is made in this Amendment.

**PERIOD OF PERFORMANCE:**

The authorized period of performance of this Subaward is extended through Mar 31, 2019.

**PRIME AWARD (ATTACHMENT 2):**

NIGMS modifications of Award R25GM095401, dated Jun 1, 2017 and May 4, 2018, are attached in accordance with Article 11 of this Subaward's Terms and Conditions.

**ATTACHMENT 3:**

PTE Contacts in Attachment 3A: [ X ] are updated / [ ] are not updated.

Updates to Subrecipient Contacts (Attachment 3B) should be forwarded to the PTE Administrative Contact listed in Attachment 3A.


**ATTACHMENT 5:**

The amount funded for this Subaward is increased by \$73,646.00 in accordance with the budgets, for the Apr 1, 2017 - Mar 31, 2018 period (obligation amount \$36,823) and for the Apr 1, 2018 - Mar 31, 2019 period (obligation amount \$36,823), included in the Original Agreement as Attachment 5. This increases the total amount funded to date from \$36,822 to a new total of \$110,468.

All other terms and conditions remain unchanged.

*For clarity: all amounts stated in this amendment are in United States Dollars.*

**All other terms and conditions of this Subaward Agreement remain in full force and effect.**

By an Authorized Official of PTE:  Theresa Saunders-Landreth 2018.07.02 09:15:32 -07'00'		The Subrecipient is not required to countersign this amendment. Unilateral acceptance of this modification does not bypass internal approval processes of the Subrecipient. If Subrecipient would like to terminate this action, a request should be directed to PTE's Administrative Contact.
<b>Name:</b> Theresa Saunders-Landreth	<b>Date:</b>	
<b>Title:</b> Subaward Specialist		



RESEARCH EDUCATION PROJECT  
Department of Health and Human Services  
National Institutes of Health

Notice of Award

Federal Award Date: 06/05/2017



NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

**Grant Number:** 5R25GM095401-07 REVISED

**FAIN:** R25GM095401

**Principal Investigator(s):**

Agnello Braganza  
GARY L FIRESTONE (contact), PHD  
Jennifer Shanoski

**Project Title:** Berkeley Bridges to the Baccalaureate

Pittman, Heather  
Contract and Grant Officer  
2150 Shattuck Ave, suite 300  
Berkeley, CA 947045940

**Award e-mailed to:** spoawards@berkeley.edu

**Period Of Performance:**

**Budget Period:** 04/01/2017 – 03/31/2018

**Project Period:** 04/01/2011 – 03/31/2021

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect an increase in the amount of \$29,771 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF CALIFORNIA BERKELEY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of General Medical Sciences of the National Institutes of Health under Award Number R25GM095401. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Justin Rosenzweig  
Grants Management Officer  
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

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## SECTION I – AWARD DATA – 5R25GM095401-07 REVISED

### Award Calculation (U.S. Dollars)

Salaries and Wages  
 Fringe Benefits  
 Personnel Costs (Subtotal)  
 Materials & Supplies  
 Other  
 Subawards/Consortium/Contractual Costs  
 Publication Costs  
 Equipment or Facility Rental/User Fees

Federal Direct Costs	\$280,936
Federal F&A Costs	\$16,761
Approved Budget	\$297,697
Total Amount of Federal Funds Obligated (Federal Share)	\$297,697
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$297,697</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$29,771</b>

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
7	\$297,697	\$297,697
8	\$289,191	\$289,191
9	\$290,830	\$290,830
10	\$283,454	\$283,454

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

### Fiscal Information:

**CFDA Name:** Biomedical Research and Research Training  
**CFDA Number:** 93.859  
**EIN:** 1946002123A1  
**Document Number:** RGM095401B  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2017

IC	CAN	2017	2018	2019	2020
GM	8472197	\$297,697	\$289,191	\$290,830	\$283,454

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

### NIH Administrative Data:

**PCC:** T111NS / **OC:** 415E / **Released:** ROSENZWEIJ 06/02/2017  
**Award Processed:** 06/05/2017 12:06:10 AM

## SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25GM095401-07 REVISED

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

## SECTION III – TERMS AND CONDITIONS – 5R25GM095401-07 REVISED

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.

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- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

**Research and Development (R&D):** All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VI Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R25GM095401. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal

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Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

## **Treatment of Program Income:**

Additional Costs

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## **SECTION IV – GM Special Terms and Conditions – 5R25GM095401-07 REVISED**

In accordance with NIH's fiscal year 2017 policies, this award is being revised to 100% of the amount previously committed from last year's Notice of Award.

### **TERMS AND CONDITIONS FROM PREVIOUS AWARD**

1. NIH is currently operating under a Continuing Resolution (See NIH Guide Notice NOT-OD-17-001: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-001.html>). Therefore, this non-competing award has been made at a level below that committed for FY2017 in the previous Notice of Award. If the final appropriation permits, adjustments may be made up to the FY2017 funding plan level.

2.. None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the applicable salary cap. Therefore, this award and/or future years are adjusted accordingly, if applicable. Current salary cap levels can be found at the following URL:

[http://grants1.nih.gov/grants/policy/salcap\\_summary.htm](http://grants1.nih.gov/grants/policy/salcap_summary.htm)

3. This grant should be administered in accordance with the guidelines described in the Bridges to the Baccalaureate Program Announcement (PAR-13-333) available at: <http://grants.nih.gov/grants/guide/pa-files/PAR-13-333.html>. These guidelines are in addition to the standard terms and conditions referenced in Section III of this Notice of Award. For additional information on this program, including training materials and answers to frequently asked questions, please visit the NIGMS Division of Training, Workforce Development, and Diversity (TWD) website: <http://www.nigms.nih.gov/Training/Pages/default.aspx>

**RESTRICTION:** This award provides funding to support the following number of participants:

Undergraduate: 15

The grantee may not appoint more than the approved number of participants unless prior approval is first obtained from NIGMS.

**4. OTHER PROGRAM REQUIREMENTS:** The policies as stated in the NIH Grants Policy Statement (for research grants) and the Program Announcement referenced above must be followed. Key elements include, but are not limited to:

**Allowable/Unallowable Costs:** The Program Announcement referenced above includes detailed information on appropriate charges, limitations on personnel effort and compensation, and specific items of cost that are unallowable.

**Rebudgeting:** Funds for the direct support of student participants provided in this award (i.e. salaries, fringe benefits, tuition/fees, and student travel) are restricted and may not be rebudgeted without the prior written approval of NIGMS. However, any unused student participant funds carried forward into the next budget period are unrestricted and may be rebudgeted within the limitations set for in the NIH Grants Policy Statement, the Program Announcement referenced above, and the terms and conditions of this Notice of Award.

**Student Qualifications:** It is the responsibility of the grantee institution to monitor the qualifications of students prior to their participation in the program. A student participant must be a citizen, a non-citizen national, or have been lawfully admitted for permanent residence. A non-citizen national is a person who, although not a citizen of the United States, owes permanent allegiance to the U.S. They are generally persons born in lands that are not States, but are under U.S. sovereignty, jurisdiction, or administration (e.g. American Samoa). An individual lawfully admitted for permanent residence must possess a Permanent Resident Card (I-551) prior to appointment on the grant. Individuals on temporary visas are not eligible for support.

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Participant Monitoring: Grantees must have a system in place for monitoring student progress including their retention, transfer, and successful completion of their degree(s), if applicable.

Student Appointments: All student participants must be appointed through the NIGMS CareerTrac System in accordance with NIH Guide Notice NOT-OD-14-118 available at <http://grants.nih.gov/grants/guide/notice-files/NOT-GM-14-117.html>.

Additional information on CareerTrac can be found on the CareerTrac website: <https://careertrac.niehs.nih.gov/about.gsp>

Human Subjects/Vertebrate Animals Research: It is understood that no trainee will be permitted to work on any project involving live vertebrate animals or human subjects that has not been approved by the IACUC and/or IRB, as appropriate. If any trainee undertakes a project that includes human subject research studies, these must conform to the NIH policies on the inclusion of women, minorities, and children in study populations.

Unobligated Balances: As indicated in Section III of this Notice of Award, an unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval; however, NIGMS staff reserves the right to make budgetary reductions to award commitments in cases where recipients have accrued excessively large unobligated balances.

5. In accordance with NIH Guide Notice NOT-GM-14-140, <http://grants.nih.gov/grants/guide/notice-files/NOT-GM-14-140.html>, evaluation costs are limited to a maximum of \$3,000 per project period. Grantee institutions are responsible for costs in excess of \$3,000; rebudgeting funds from any other category is not allowable.

6. This award includes funds awarded for consortium activity. Recommended levels in future years also include costs for this purpose. Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH GPS is available at: [http://grants.nih.gov/grants/policy/nihgps/HTML5/section\\_15/15.1\\_general.htm](http://grants.nih.gov/grants/policy/nihgps/HTML5/section_15/15.1_general.htm)

7. In keeping with NOT-OD-06-054 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-054.html>), as this grant has multiple Principal Investigators (PIs), although the signatures of the PIs are not required on prior approval requests submitted to the agency, the grantee institution must secure and retain the signatures of all of the PIs within their own internal processes.

## SECTION V - NIGMS CONTACTS

The NIGMS WWW home page is at <http://www.nigms.nih.gov>

### STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist**: Robert Altieri  
**Email**: Robert.Altieri@nih.gov **Phone**: (631) 849-1872 **Fax**: (301) 480-2554

**Program Official**: Mercedes Rubio  
**Email**: rubiome@nigms.nih.gov **Phone**: (301) 594-3900 **Fax**: (301) 480-2753

### SPREADSHEET SUMMARY

**GRANT NUMBER**: 5R25GM095401-07 REVISED

**INSTITUTION**: UNIVERSITY OF CALIFORNIA BERKELEY



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Budget	Year 7	Year 8	Year 9	Year 10
Salaries and Wages				
Fringe Benefits				
Personnel Costs (Subtotal)				
Materials & Supplies				
Other				
Subawards/Consortium/Contractual Costs				
Publication Costs				
Equipment or Facility Rental/User Fees				
TOTAL FEDERAL DC	\$280,936	\$273,060	\$274,578	\$267,748
TOTAL FEDERAL F&A	\$16,761	\$16,131	\$16,252	\$15,706
TOTAL COST	\$297,697	\$289,191	\$290,830	\$283,454

Facilities and Administrative Costs	Year 7	Year 8	Year 9	Year 10
F&A Cost Rate 1	8%	8%	8%	8%
F&A Cost Base 1	\$209,508	\$201,632	\$203,150	\$196,320
F&A Costs 1	\$16,761	\$16,131	\$16,252	\$15,706



Notice of Award

Federal Award Date: 05/04/2018



RESEARCH EDUCATION PROJECT  
Department of Health and Human Services  
National Institutes of Health



NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

**Grant Number:** 5R25GM095401-08 REVISED

**FAIN:** R25GM095401

**Principal Investigator(s):**

Agnello Braganza  
GARY L FIRESTONE (contact), PHD  
Jennifer Shanoski

**Project Title:** Berkeley Bridges to the Baccalaureate

Pittman, Heather  
Contract and Grant Officer  
2150 Shattuck Ave, suite 300  
Berkeley, CA 947045940

**Award e-mailed to:** spoawards@berkeley.edu

**Period Of Performance:**

**Budget Period:** 04/01/2018 – 03/31/2019

**Project Period:** 04/01/2011 – 03/31/2021

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect an increase in the amount of \$28,920 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF CALIFORNIA BERKELEY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of General Medical Sciences of the National Institutes of Health under Award Number R25GM095401. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Lori Burge  
Grants Management Officer  
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

**SECTION I – AWARD DATA – 5R25GM095401-08 REVISED**

Award Calculation (U.S. Dollars)

Salaries and Wages  
 Fringe Benefits  
 Personnel Costs (Subtotal)  
 Materials & Supplies  
 Other  
 Subawards/Consortium/Contractual Costs  
 Publication Costs  
 Equipment or Facility Rental/User Fees

Federal Direct Costs \$273,060  
 Federal F&A Costs \$16,131  
 Approved Budget \$289,191  
 Total Amount of Federal Funds Obligated (Federal Share) \$289,191  
**TOTAL FEDERAL AWARD AMOUNT \$289,191**

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$28,920**

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
8	\$289,191	\$289,191
9	\$290,830	\$290,830
10	\$283,454	\$283,454

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**Fiscal Information:**

**CFDA Name:** Biomedical Research and Research Training  
**CFDA Number:** 93.859  
**EIN:** 1946002123A1  
**Document Number:** RGM095401B  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2018

IC	CAN	2018	2019	2020
GM	8472197	\$289,191	\$290,830	\$283,454

Recommended future year total cost support, subject to the availability of funds and satisfactory progress of the project

**NIH Administrative Data:**

**PCC:** T111NS / **OC:** 415E / **Released:** BURGEL 05/03/2018  
**Award Processed:** 05/04/2018 12:04:01 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25GM095401-08 REVISED**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

**SECTION III – TERMS AND CONDITIONS – 5R25GM095401-08 REVISED**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 75.

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- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

**Research and Development (R&D):** All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase VI Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R25GM095401. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal

Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

**Treatment of Program Income:**

Additional Costs

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## SECTION IV – GM Special Terms and Conditions – 5R25GM095401-08 REVISED

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

In accordance with NIH's fiscal year 2018 policies, this award is being revised to 100% of the amount previously committed from last year's Notice of Award.

### TERMS AND CONDITIONS FROM PREVIOUS AWARD:

1. NIH is currently operating under a Continuing Resolution (See NIH Guide Notice NOT-OD-17-124: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-124.html>). Therefore, this non-competing award has been made at a level below that committed for FY2018 in the previous Notice of Award. If the final appropriation permits, adjustments may be made up to the FY2018 funding plan level.

2.. None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the applicable salary cap. Therefore, this award and/or future years are adjusted accordingly, if applicable. Current salary cap levels can be found at the following URL:

[http://grants1.nih.gov/grants/policy/salcap\\_summary.htm](http://grants1.nih.gov/grants/policy/salcap_summary.htm)

3. This grant should be administered in accordance with the guidelines described in the Bridges to the Baccalaureate Program Announcement (PAR-13-333) available at: <http://grants.nih.gov/grants/guide/pa-files/PAR-13-333.html>. These guidelines are in addition to the standard terms and conditions referenced in Section III of this Notice of Award. For additional information on this program, including training materials and answers to frequently asked questions, please visit the NIGMS Division of Training, Workforce Development, and Diversity (TWD) website: <http://www.nigms.nih.gov/Training/Pages/default.aspx>

**RESTRICTION:** This award provides funding to support the following number of participants:

Undergraduate: 15

The grantee may not appoint more than the approved number of participants unless prior approval is first obtained from NIGMS.

**4. OTHER PROGRAM REQUIREMENTS:** The policies as stated in the NIH Grants Policy Statement (for research grants) and the Program Announcement referenced above must be followed. Key elements include, but are not limited to:

Allowable/Unallowable Costs: The Program Announcement referenced above includes detailed information on appropriate charges, limitations on personnel effort and compensation, and specific items of cost that are unallowable.

Rebudgeting: Funds for the direct support of student participants provided in this award (i.e. salaries, fringe benefits, tuition/fees, and student travel) are restricted and may not be rebudgeted without the prior written approval of NIGMS. However, any unused student participant funds carried forward into the next budget period are unrestricted and may be rebudgeted within the limitations set for in the NIH Grants Policy Statement, the Program Announcement referenced above, and the terms and conditions of this Notice of Award.

Student Qualifications: It is the responsibility of the grantee institution to monitor the qualifications of students prior to their participation in the program. A student participant must be a citizen, a

non-citizen national, or have been lawfully admitted for permanent residence. A non-citizen national is a person who, although not a citizen of the United States, owes permanent allegiance to the U.S. They are generally persons born in lands that are not States, but are under U.S. sovereignty, jurisdiction, or administration (e.g. American Samoa). An individual lawfully admitted for permanent residence must possess a Permanent Resident Card (I-551) prior to appointment on the grant. Individuals on temporary visas are not eligible for support.

Participant Monitoring: Grantees must have a system in place for monitoring student progress including their retention, transfer, and successful completion of their degree(s), if applicable.

Student Appointments: Electronic Statement of Appointment forms (Form PHS 2271) must be submitted for all student participants through the xTrain system. A Termination Notice is not required at the end of a student participant's appointment; however, if the actual period of support is different from what was originally proposed, the appointment must be amended to reflect the actual period of support.

Additional information on xTrain, as well as training and reference materials can be found on the xTrain website: [http://era.nih.gov/era\\_training/xtrain.cfm](http://era.nih.gov/era_training/xtrain.cfm)

Human Subjects/Vertebrate Animals Research: It is understood that no trainee will be permitted to work on any project involving live vertebrate animals or human subjects that has not been approved by the IACUC and/or IRB, as appropriate. If any trainee undertakes a project that includes human subject research studies, these must conform to the NIH policies on the inclusion of women, minorities, and children in study populations.

Unobligated Balances: As indicated in Section III of this Notice of Award, an unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval; however, NIGMS staff reserves the right to make budgetary reductions to award commitments in cases where recipients have accrued excessively large unobligated balances.

5. In accordance with NIH Guide Notice NOT-GM-14-140, <http://grants.nih.gov/grants/guide/notice-files/NOT-GM-14-140.html>, evaluation costs are limited to a maximum of \$3,000 per project period. Grantee institutions are responsible for costs in excess of \$3,000; rebudgeting funds from any other category is not allowable.

6. This award includes funds awarded for consortium activity. Recommended levels in future years also include costs for this purpose. Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH GPS is available at: [http://grants.nih.gov/grants/policy/nihgps/HTML5/section\\_15/15.1\\_general.htm](http://grants.nih.gov/grants/policy/nihgps/HTML5/section_15/15.1_general.htm)

7. In keeping with NOT-OD-06-054 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-054.html>), as this grant has multiple Principal Investigators (PIs), although the signatures of the PIs are not required on prior approval requests submitted to the agency, the grantee institution must secure and retain the signatures of all of the PIs within their own internal processes.

8. As appropriate, the awardee is required to follow the sharing plan(s) for unique research resources (i.e. Data, Model Organism, Genomic Data, or other) associated with this project and may not implement any changes to the plan(s) without the written prior approval of the National Institute of General Medical Sciences.

## SECTION V - NIGMS CONTACTS

The NIGMS WWW home page is at <http://www.nigms.nih.gov>

## STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

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**Grants Management Specialist:** Robert Altieri  
**Email:** Robert.Altieri@nih.gov **Phone:** (631) 849-1872 **Fax:** (301) 480-2554

**Program Official:** Mercedes Rubio  
**Email:** rubiome@nigms.nih.gov **Phone:** (301) 594-3900 **Fax:** (301) 480-2753

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 5R25GM095401-08 REVISED

**INSTITUTION:** UNIVERSITY OF CALIFORNIA BERKELEY

Budget	Year 8	Year 9	Year 10
Salaries and Wages			
Fringe Benefits			
Personnel Costs (Subtotal)			
Materials & Supplies			
Other			
Subawards/Consortium/Contractual Costs			
Publication Costs			
Equipment or Facility Rental/User Fees			
TOTAL FEDERAL DC	\$273,060	\$274,578	\$267,748
TOTAL FEDERAL F&A	\$16,131	\$16,252	\$15,706
TOTAL COST	\$289,191	\$290,830	\$283,454

Facilities and Administrative Costs	Year 8	Year 9	Year 10
F&A Cost Rate 1	8%	8%	8%
F&A Cost Base 1	\$201,632	\$203,150	\$196,320
F&A Costs 1	\$16,131	\$16,252	\$15,706



**Attachment 3A  
Pass-through Entity (PTE) Contacts**

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**PTE Information**

Entity Name: The Regents of the University of California

Legal Address: Sponsored Projects Office  
University of California  
1608 Fourth Street, Suite 220 (for packages and express mail, use Suite 101)  
Berkeley, CA 94710-5940

Website: <https://spo.berkeley.edu/>

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**PTE Contacts**

Central Email: [subcontracts@berkeley.edu](mailto:subcontracts@berkeley.edu)

Principal Investigator (PI) Name: Gary Firestone  
Email: [gfire@berkeley.edu](mailto:gfire@berkeley.edu) Telephone Number: 510-642-8319

Administrative Contact Name: Theresa Saunders-Landreth  
Email: [subcontracts@berkeley.edu](mailto:subcontracts@berkeley.edu) Telephone Number: 510-664-7401

COI Contact Email: (if different) [researchcoi@berkeley.edu](mailto:researchcoi@berkeley.edu)

Financial Contact Name: Carlos Gonzalez (contact this person for current Subaward PO Number)  
Email: [cgonzalez275@berkeley.edu](mailto:cgonzalez275@berkeley.edu) Telephone Number: 510-664-4571

Emailed invoices?  Yes  No

Invoice E-mail (if different): [ucinvoice@berkeley.edu](mailto:ucinvoice@berkeley.edu) with cc. sent to PTE Financial Contact  
(for detailed invoicing instructions, go to <http://controller.berkeley.edu/departments/accounts-payable/helpful-hints-our-vendors>)

Authorized Official Name: Noam Pines  
Email: [subcontracts@berkeley.edu](mailto:subcontracts@berkeley.edu) Telephone Number: 510-643-3891

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**PI Address:** Center for Educational Partnerships-Transfer Alliance  
University of California  
591-A Life Sciences Annex  
Berkeley, CA 94720

**Administrative Address:** Sponsored Projects Office  
University of California  
1608 Fourth Street, Suite 220 (for packages and express mail, use Suite 101)  
Berkeley, CA 94710-5940

**Invoice Address:** Emailed invoices are preferred (see Invoice e-mail contact information above).  
If emailed invoices are not possible, see invoicing instructions for regular post at  
<http://controller.berkeley.edu/departments/accounts-payable/helpful-hints-our-vendors>.