

Research Subaward Agreement Amendment

Institution/Organization ("Prime Recipient") Name: The Regents of the University of California Address: Sponsored Projects Office University of California 2150 Shattuck Ave., Suite 313 Berkeley, CA 94704-5940	Institution/Organization ("Subrecipient") Name: Chabot-Las Positas Community College District Address: 5020 Franklin Drive Pleasanton, CA 94588-3354
Prime Recipient PI: <p style="text-align: center;">Gary Firestone</p>	Subrecipient PI: <p style="text-align: center;">Agnello Braganza</p>
Prime Award No. 5R25GM095401-04 (FAIN: R25GM095401)	Subaward No.: <p style="text-align: center;">00007618</p>
Effective Date of Amendment <p style="text-align: center;">April 01, 2012</p>	Amendment No.: <p style="text-align: center;">01</p>

Amendment(s) to Original Terms and Conditions

Amount funded

For fiscal year 2011-2012: The amount funded for this subaward is decreased by \$30,809 in accordance with the budget included as Attachment 5-a. This decreases the total awarded from \$30,809 by \$30,809 for a total of \$0.

For fiscal year 2012-2013: The amount funded for this Subaward is increased by \$30,197.58 in accordance with the budget included as Attachment 5-a. This increases the total awarded from \$0 by \$30,197.58 for a total of \$30,197.58.

For fiscal year 2013-2014: The amount funded for this Subaward is increased by \$29,730.24 in accordance with the budget included as Attachment 5-a. This increases the total awarded from \$30,197.58 by \$29,730.24 for a total of \$59,927.82.

For fiscal year 2014-2015: The amount funded for this Subaward is increased by \$33,491 in accordance with the budget included as Attachment 5-a. This increases the total awarded from \$59,927.82 by \$33,491 for a total of \$93,418.82.

Period of Performance

The authorized period of performance of this Subaward is extended through March 31, 2015.

Attachment 2

NIH Notice of Award dated 03/31/2014 for NIH Grant No.: 5R25GM095401-04; FAIN: R25GM095401 is attached in accordance with Article 10) Terms and Conditions.

Attachment 3A is updated and replaced.

Attachment 4 is updated and replaced.

All other terms and conditions remain unchanged.

By an Authorized Official of Prime Recipient <hr/> Name _____ Date _____ Title	By an Authorized Official of Subrecipient <hr/> Name _____ Date _____ Title
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RESEARCH EDUCATION PROJECT
Department of Health and Human Services
National Institutes of Health
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Notice of Award

Issue Date: 03/31/2014



Grant Number: 5R25GM095401-04
FAIN: R25GM095401

Principal Investigator(s):
GARY L FIRESTONE, PHD

Project Title: Berkeley Bridges to the Baccalaureate

Senior Project Analyst
Sponsored Projects Office
The Regents of the University of California
2150 Shattuck Ave. Suite 313
Berkeley, CA 947045940

Award e-mailed to: spoawards@berkeley.edu

Budget Period: 04/01/2014 – 03/31/2015
Project Period: 04/01/2011 – 03/31/2016

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$240,162 (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 42 CFR Part 50 Subpart F. Subsequent to the compliance date of the 2011 revised FCOI regulation (i.e., on or before August 24, 2012), Awardees must be in compliance with all aspects of the 2011 revised regulation; until then, Awardees must comply with the 1995 regulation. 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,

Christy S. Leake
Grants Management Officer
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

SECTION I – AWARD DATA – 5R25GM095401-04**Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$226,923
Federal F&A Costs	\$13,239
Approved Budget	\$240,162
Federal Share	\$240,162
TOTAL FEDERAL AWARD AMOUNT	\$240,162
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$240,162

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
4	\$240,162	\$240,162
5	\$245,022	\$245,022

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

Fiscal Information:

CFDA Number: 93.859
EIN: 1946002123A1
Document Number: RGM095401A
PMS Account Type: G (Pooled)
Fiscal Year: 2014

IC	CAN	2014	2015
GM	8472197	\$240,162	\$245,022

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

NIH Administrative Data:

PCC: T111MH / OC: 415E / Released: LEAKEC 03/25/2014
Award Processed: 12/26/2013 10:57:56 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25GM095401-04

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 – 5R25GM095401-04

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:

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- 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.)

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V 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 Central Contractor Registration. 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/>.

Treatment of Program Income:

Additional Costs

SECTION IV – GM Special Terms and Conditions – 5R25GM095401-04

1. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice NOT-OD-14-055.

2. **Bridges to the Baccalaureate:** This grant should be administered in accordance with the guidelines described in the BRIDGES TO THE BACCALAUREATE Program Announcement (PAR-07-411) available at: <http://grants.nih.gov/grants/guide/pa-files/PAR-07-411.html>.

3. 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>.

4. **RESTRICTION:** This award provides funding to support the following number of Bridges to the Baccalaureate participants:

Undergraduate Participants: 15

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

5. **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

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.

6. 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. Current salary cap levels can be found at the following URL:

http://grants1.nih.gov/grants/policy/salcap_summary.htm

7. This award includes funds awarded for consortium activity with Chabot College and Merritt College. 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_2013/nihgps_ch15.htm#_Toc271265264.

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: Michael P Mace
Email: macem@mail.nih.gov **Phone:** (301) 402-6431 **Fax:** (301) 480-2554

Program Official: Michelle R Hamlet
Email: hamletm@mail.nih.gov **Phone:** (301) 594-3900 **Fax:** (301) 480-2228

SPREADSHEET SUMMARY
GRANT NUMBER: 5R25GM095401-04

INSTITUTION: UNIVERSITY OF CALIFORNIA BERKELEY

Facilities and Administrative Costs	Year 4	Year 5
F&A Cost Rate 1	8%	8%
F&A Cost Base 1	\$165,485	\$169,985
F&A Costs 1	\$13,239	\$13,599

Attachment 3A
Research Subaward Agreement

Subaward Number:

00007618

Prime Recipient Contacts

Institution/Organization ("Prime Recipient")

Name: The Regents of the University of California
Address: Sponsored Projects Office
2150 Shattuck Ave., Suite 300
City: Berkeley State: CA ZipCode: 94704-5940

Administrative Contact

Name: Angie Hennig
Address: Sponsored Projects Office
University of California
2150 Shattuck Avenue, Suite 300
City: Berkeley State: CA ZipCode: 94704-5940
Telephone: (510) 644-7401 Fax:
Email: subcontracts@berkeley.edu

Principal Investigator

Name: Gary Firestone
Address: Center for Educational Partnership-Transfer Alliance
591 A LSA
City: Berkeley State: CA ZipCode: 94720
Telephone: (510) 642-8319 Fax:
Email: glfire@berkeley.edu

Financial Contact

Name: Carlos Gonzalez
Address: University of California
2150 Shattuck Ave
City: Berkeley State: CA ZipCode: 94704
Telephone: (510) 664-4571 Fax:
Email: cgonzalez275@berkeley.edu

Authorized Official

Name: Patricia A. Gates, Associate Director
Address: Sponsored Projects Office
University of California
2150 Shattuck Avenue, Suite 300
City: Berkeley State: CA ZipCode: 94704-5940
Telephone: (510) 642-8109 Fax: (510) 642-8236
Email: pgates@berkeley.edu

ATTACHMENT 4
SUBAWARD 00007618

Reporting Requirements

Technical Reporting

Subrecipient shall submit annual progress reports, describing accomplishments and significant research findings derived from the work conducted, described in NOT-OD-10-093 at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-093.html> **sixty (60) days** prior to the budget period end date or as reasonably requested by the Prime Recipient PI. A final technical report shall be submitted no later than **forty-five (45) days** after the project end date or applicable termination date.

All technical and scientific reports shall be submitted to Prime Recipient's Principal Investigator, as specified in Attachment 3A, and not to the Federal Awarding Agency.

Invoice and Payment Requirements

- a) Invoices must be submitted by mail or email in accordance with University policies and procedures following the instructions provided by the UC Berkeley Accounts Payable Office at <http://controller.berkeley.edu/departments/accounts-payable/helpful-hints-our-vendors>. In addition, copies of all invoices should be sent to the Berkeley Financial Contact, who can assist with related financial reporting questions and status of invoice payments.
- b) Prime Recipient will reimburse Subrecipient based upon acceptable invoices signed by an authorized official of Subrecipient. Invoices shall identify actual allowable expenditures for committed effort and work performed by major budget categories, (i.e., salaries, fringe benefits, equipment, travel, supplies, subcontracts, indirect costs, etc.) and/or the categories included in the approved budget incorporated in Attachment 5.
- c) All invoices must be dated, sequentially numbered, and must include the following:
 1. Prime Award Number
 2. Subaward Number
 3. Purchase Order
- d) Invoices that do not include required information in b) and c) above may be delayed or returned unpaid. Contact the Prime Recipient Financial Contact specified in Attachment 3A to obtain a purchase order number.
- e) A final invoice shall be submitted within **forty-five (45) days** after the project end date or applicable termination date in accordance with a). The invoice shall be marked "Final" and include the following certification:

“Payment of this final invoice shall constitute complete satisfaction of Prime Recipient’s obligations under this Subagreement. Subrecipient releases and discharges The Regents of the University of California from all further claims and obligations upon payment hereof.”

Attachment 5-a

Chabot College/Las Positas - Subaward #7918

NIH Bridges Grant

	2011-2012	2012-2013	2013-2014	2014-2015	2014-2016
Key Personnel - Salary					
Agnello Braganza (PI)	10,300	10,300	10,300	10,300	10,300
Other Personnel					
Tutoring Coordinator	6,500	6,500	6,500	6,500	6,500
Student Mentor/Tutors	4,500	4,500	4,500	4,500	4,500
Benefits	3,127	3,127	3,127	3,127	3,127
Other Direct Costs					
Support for Institutional Research	2,000	2,349	2,770	3,150	3,601
Student Fieldtrips	2,100	2,555	2,961	3,433	3,860
Indirect Cost 8%	2,282	2,346	2,413	2,481	2,551
Total	30,809	31,677	32,570	33,491	34,439
Total Invoiced and Paid	0.00	30,197.58	29,730.24		