

## Research Subaward Agreement Amendment

<b>Institution/Organization ("Prime Recipient")</b> Name: The Regents of the University of California Address: Sponsored Projects Office University of California 2150 Shattuck Ave., Suite 313 Berkeley, CA 94704-5940	<b>Institution/Organization ("Subrecipient")</b> Name: Chabot-Las Positas Community College District Address: 7600 Dublin Boulevard, 3rd Floor Dublin, CA 94568
<b>Prime Recipient PI:</b> <p style="text-align: center;">Gary Firestone</p>	<b>Subrecipient PI:</b> <p style="text-align: center;">Lorenzo Legaspi</p>
<b>Prime Award No.</b> <p style="text-align: center;">5R25GM095401-05</p>	<b>Subaward No.:</b> <p style="text-align: center;">00007618</p>
<b>Effective Date of Amendment</b> <p style="text-align: center;">April 01, 2015</p>	<b>Amendment No.:</b> <p style="text-align: center;">02</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.

For fiscal year 2015-2016: The amount funded for this Subaward is increased by \$34,439 in accordance with the budget included as Attachment 5-a with the amendment 1 Subaward Research Agreement. This increases the total awarded from \$93,418.82 by \$34,439 for a total of \$127,857.82.

**Period of Performance**

The authorized period of performance of this Subaward is extended through August 31, 2016.

**Attachment 2**

NIH Notice of Award dated 03/31/2015, and NIH Notice of a Project Extension Request dated 03/10/2016, for NIH Grant No.: 5R25GM095401-05; FAIN: R25GM095401 are attached in accordance with Article 10) Terms and Conditions.

All other terms and conditions remain unchanged.

By an Authorized Official of Prime Recipient	By an Authorized Official of Subrecipient
_____ Name _____ Date _____ Title _____	_____ Name Lorenzo Legaspi Date _____ Title Vice Chancellor, Business Services



RESEARCH EDUCATION PROJECT  
Department of Health and Human Services  
National Institutes of Health  
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Notice of Award

Federal Award Date: 03/31/2015



**Grant Number:** 5R25GM095401-05  
**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

**Period Of Performance:**  
**Budget Period:** 04/01/2015 – 03/31/2016  
**Project Period:** 04/01/2011 – 03/31/2016

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$245,022 (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,

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Lori Burge  
Grants Management Officer  
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

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**SECTION I – AWARD DATA – 5R25GM095401-05****Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$231,423
Federal F&A Costs	\$13,599
Approved Budget	\$245,022
Total Amount of Federal Funds Obligated (Federal Share)	\$245,022
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$245,022</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$245,022**

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

**Fiscal Information:**

**CFDA Name:** Biomedical Research and Research Training  
**CFDA Number:** 93.859  
**EIN:** 1946002123A1  
**Document Number:** RGM095401A  
**PMS Account Type:** G (Pooled)  
**Fiscal Year:** 2015

IC	CAN	2015
GM	8472197	\$245,022

**NIH Administrative Data:**

**PCC:** T111MH / **OC:** 415E / **Released:** BURGEL 03/26/2015  
**Award Processed:** 01/15/2015 11:58:50 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25GM095401-05**

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

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**SECTION III – TERMS AND CONDITIONS – 5R25GM095401-05**

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.
- 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 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/>.

This award represents the final year of the competitive segment for this grant. See the NIH Grants Policy Statement Section 8.6 Closeout for complete closeout requirements at: <http://grants.nih.gov/grants/policy/policy.htm#gps>.

A final expenditure Federal Financial Report (FFR) (SF 425) must be submitted through the eRA Commons (Commons) within 120 days of the expiration date; see the NIH Grants Policy Statement Section 8.6.1 Financial Reports, <http://grants.nih.gov/grants/policy/policy.htm#gps>, for additional information on this submission requirement. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) quarterly cash transaction data. A final quarterly federal cash transaction report is not required for awards in PMS B subaccounts (i.e., awards to foreign entities and to Federal agencies). NIH will close the awards using the last recorded cash drawdown level in PMS for awards that do not require a final FFR on expenditures or quarterly federal cash transaction reporting. It is important to note that for financial closeout, if a grantee fails to submit a required final expenditure FFR, NIH will close the grant using the last recorded cash drawdown level. If the grantee submits a final expenditure FFR but does not reconcile any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH will close the award at the lower amount. This could be considered a debt or result in disallowed costs.

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 120 days of the expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>.

This paragraph does not apply to Training grants, Fellowships, and certain other programs—i.e., activity codes C06, R13, R25, S10.

Unless an application for competitive renewal is submitted, a final progress report must also be submitted within 120 days of the expiration date. Instructions for preparing a Final Progress Report are at: <http://grants.nih.gov/grants/funding/finalprogressreport.pdf>. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the final progress report. Institute/Centers may accept the progress report contained in competitive renewal (type 2) in lieu of a separate final progress report. Contact the awarding IC for IC-specific policy regarding acceptance of a progress report contained in a competitive renewal application in lieu of a separate final progress report.

NIH strongly encourages electronic submission of the final progress report and the final invention statement through the Closeout feature in the Commons, but will accept an email or hard copy submission as indicated below.

Email: The final progress report and final invention statement may be e-mailed as PDF attachments to: [NIHCloseoutCenter@mail.nih.gov](mailto:NIHCloseoutCenter@mail.nih.gov).

Hard copy: Paper submissions of the final progress report and the final invention statement may be faxed to the NIH Division of Central Grants Processing, Grants Closeout Center, at 301-480-2304, or mailed to:

National Institutes of Health  
Office of Extramural Research  
Division of Central Grants Processing  
Grants Closeout Center  
6705 Rockledge Drive  
Suite 5016, MSC 7986  
Bethesda, MD 20892-7986 (for regular or U.S. Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express deliveries only)

NOTE: If this is the final year of a competitive segment due to the transfer of the grant to another institution, then a Final Progress Report is not required. However, a final expenditure FFR is required and should be submitted electronically as noted above. If not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

**Treatment of Program Income:**  
Additional Costs

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#### **SECTION IV – GM Special Terms and Conditions – 5R25GM095401-05**

1. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice NOT-OD-15-050.
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:** 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.

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](http://grants1.nih.gov/grants/policy/salcap_summary.htm)

7. This award includes funds awarded for consortium activity with Chabot College and Merritt College. 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](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:** Justin Rosenzweig  
**Email:** rosenzj@mail.nih.gov **Phone:** 301-594-0158 **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:** 5R25GM095401-05

**INSTITUTION:** UNIVERSITY OF CALIFORNIA BERKELEY

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



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**From:** era-notify@mail.nih.gov [mailto:era-notify@mail.nih.gov]  
**Sent:** Thursday, March 10, 2016 12:17 PM  
**To:** hpittman@berkeley.edu; glfire@berkeley.edu  
**Subject:** Project Extension Submitted for Grant: R25GM095401-05 to the NIH.

A Project Extension Request was completed by Signing Official: Pittman, Heather for grant application: R25GM095401-05 associated with Principal Investigator FIRESTONE, GARY L using the NIH Commons. The new project end date for this grant is: 08/31/2016

This new date will now be reflected in the Application Detail section of Commons.  
If you have any questions about this email, please contact Heather Pittman at hpittman@berkeley.edu, who

initiated this action.

For any further questions about this email, call the eRA Service Desk at 1-866-504-9552 or refer to <http://grants.nih.gov/support> for additional methods of contact. Please access Commons at <http://public.era.nih.gov/commons/>.  
For more information please visit <http://era.nih.gov/>