

**NIH Bridges to the Baccalaureate  
Chabot College**

**STATEMENT OF WORK  
September 1, 2016 – August 31, 2021**

**Proposed Activities:**

Chabot College, in collaboration with UC Berkeley and the Peralta Community College District, will conduct a series of events and provide a set of services designed to recruit NIH-targeted underrepresented minority students and help them learn about and prepare for careers in the biomedical and behavioral sciences. The goal is to increase transfer of targeted students to 4-year institutions and ultimately their successful graduation and pursuit of post-baccalaureate study and research careers. New, incoming students and continuing students in related courses and areas of study will be targeted for participation in two cohorts:

Pathways: a cohort of approximately 50-75 students on an ongoing basis who have expressed interest and who are engaged in coursework that will lead to completion of the pre-requisites for transfer into majors in biomedical and behavioral science and

Bridges: a cohort of 15 students each year (total from all participating colleges—75 over the 5-year grant period) who will participate in a mentored summer research opportunity on the Berkeley campus.

**Science and Research Career Workshops:** The Chabot Principal Investigator/Project Director (PI/PD), Agnello Braganza, Professor of Biology, will work with UC Berkeley Bridges Transfer Advisors to develop career workshops that inform students about the multitude of career options in the biological and biomedical transfer/career pathway.

**Subject-area Case Management:** Professor Braganza and Faculty Advisor Rebecca Otto will be matched with cohorts of Bridges and Pathways students and will monitor students' progress and provide input for matching students with Berkeley faculty-mentored research opportunities. Chabot faculty will also work with undergraduate student tutors to design tutoring and academic support for both Bridges and Pathways students, helping to ensure that Bridges students are academically prepared for the rigors of research internships and ultimately for transfer to four-year institutions.

**Data and Outcomes:** On an annual basis the Chabot College Office of Institutional Research will provide Chabot campus data on enrollment, transfer and graduation of students in biomedical and behavioral science majors with disaggregation of the NIH targeted underrepresented populations.

By expanding the knowledge students have about possible research careers and supporting students in their pursuit of these career goals, students will persist in their courses longer, improve their academic standing and transfer to a baccalaureate-granting institution.

**NIH Bridges to the Baccalaureate  
Chabot College  
BUDGET AND BUDGET JUSTIFICATION**

Proposed Annual Budget Sep 1, 2016 – Aug 31, 2021				
	#	Salary	Benefits	TOTAL
<b><u>Key Personnel</u></b>				
Agnello Braganza, Project Dir	1	10,557	1,056	11,612
<b><u>Other Personnel</u></b>				
Faculty Advisor	1	7,038	704	7,742
Tutors (Undergrad Students)	4	12,000	240	12,240
PERSONNEL				31,594
<b><u>Other Direct Costs</u></b>				
Workshops/Field Trips				1,500
Institutional Research				1,000
OTHER DIRECT COSTS				2,500
Indirect Costs @ 8%				2,728
<b>TOTAL</b>				<b>36,822</b>

**BUDGET JUSTIFICATION**

**A. Senior Key Personnel:**

**Principal Investigator/Project Director (PI/PD): 225 hours at \$46.92/hr; benefits (10.0%) = \$11,612**

In collaboration with the UC Berkeley and Peralta Community College District Principal Investigators/Project Directors, the Chabot PI/PD will be responsible for overall planning, implementation and evaluation of the Bridges to the Baccalaureate program at Chabot College. Responsibilities include oversight of recruitment, selection, and coordination of tutoring and other activities and ongoing monitoring of the progress of Bridges students and Pathways participants. The PI/PD works in consultation with the Berkeley PI/PD, Program Coordinator and Transfer Advisors to ensure maximum synchronization and leveraging of resources. The PI/PD serves on the Bridges Steering Committee and meets regularly with the Chabot Bridges Subcommittee, which includes the Berkeley Program Coordinator and Transfer Advisors, and Chabot Faculty Advisor as needed.

**B. Other Personnel:**

**Faculty Advisor (1): 150 hours at \$46.92/hr; benefits (10.0%) = \$7,742**

Three (3) Faculty Advisors (one each at Berkeley City College, College of Alameda, and Laney College) will collaborate with the Project Director to identify potential Bridges and Pathways students, monitor their progress, and facilitate workshops related to the biomedical and behavioral sciences.

**Tutors (4): 1000 hours at \$12/hr; benefits (2.0%) = \$12,240**

Four (4) undergraduate student tutors will provide structured support to help Bridges and Pathways students in coursework that leads to transfer in biomedical and behavioral science.

**C. Other Expenses:**

**Workshops:** speaker honoraria, cost of facilities, materials, etc. **\$1,500**

**Institutional Research:** Provides support to community college Institutional Research Office for data tracking and reporting on program participants. **\$1,000**

# Federal Funding Accountability and Transparency Act (FFATA) Reporting Worksheet

Date: 12/01/2016

Request Sent To: Chasity Whiteside via e-mail address: cwhiteside@chabotcollege.edu

RE: FFATA Reporting for:

Subcontract #: 00009232

Prime Federal Award #: R25GM095401

Subcontracting entity: Chabot-Las Positas Community College District - Chabot College

Project Title: Berkeley Bridges to the Baccalaureate

Prime Recipient PI: Gary Firestone

Subrecipient PI: Agnello Braganza

Dear Subrecipient,

The Federal Funding Accountability and Transparency Act (FFATA) reporting requirements are applicable to the above referenced subcontract. Therefore in order to comply with FFATA regulations, please provide the following information via e-mail to: [subcontracts@berkeley.edu](mailto:subcontracts@berkeley.edu)

1) **Project Description:** Please provide a succinct (no more than 4000 characters) description of the overall purpose and expected outcomes, OR results of the referenced subcontract, including significant deliverables and, if appropriate, associated units of measure that is suitable for public dissemination. Please do not use any specialized symbols or figures and keep the description to easily understandable terms for the general public.

**Proposed Activities:**

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**Science and Research Career Workshops:** The Chabot Principal Investigator/Project Director (PI/PD), Agnello Braganza, Professor of Biology, will work with UC Berkeley Bridges Transfer Advisors to develop career workshops that inform students about the multitude of career options in the biological and biomedical transfer/career pathway.

**Subject-area Case Management:** Professor Braganza and a Faculty Advisor will be matched with cohorts of Bridges and Pathways students and will monitor students' progress and provide input for matching students with Berkeley faculty-mentored research opportunities. Chabot faculty will also work with undergraduate student tutors to design tutoring and academic support for both Bridges and Pathways students, helping to ensure that Bridges students are academically prepared for the rigors of research internships and ultimately for transfer to four-year institutions.

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**Attachment 1**  
**Research Subaward Agreement**  
**Certifications and Assurances**

By signing the Subaward Agreement, the Authorized Official of Subrecipient certifies, to the best of his/her knowledge and belief, that:

**Certification Regarding Lobbying (2 CFR 200.450)**

- 1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.
- 2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the Pass-through Entity.
- 3) The Subrecipient shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U. S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

**Debarment, Suspension, and Other Responsibility Matters (200 CFR 200.213 and 2 CFR 180)**

Subrecipient certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency.

**Audit and Access to Records**

Subrecipient certifies by signing this Subaward Agreement that it complies with the Uniform Guidance, will provide notice of the completion of required audits and any adverse findings which impact this subaward as required by parts 200.501-200.521, and will provide access to records as required by parts 200.336, 200.337, and 200.201 as applicable.

**Use of Name**

Neither party shall use the other party's name, trademark or other logos in any publicity, advertising, news release, publication or public presentation, without the prior written approval of the authorized representative of that party. The parties agree that each party may respond to legitimate business inquiries with factual information regarding the existence and purpose of the relationship that is the subject of this Agreement, disclose such information to satisfy any reporting obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described.

**Attachment 2**  
**Research Subaward Agreement**  
**Prime Award Terms and Conditions**

**Sponsor Agency**

NIH	NSF	USDA	EPA	NASA	AFOSR	ARO	ONR	AMRMC	AMRAA	Other Agency
<input checked="" type="checkbox"/>	<input type="checkbox"/>									

**Required Data Elements**

The data elements required by Uniform Guidance are incorporated as follows:

(Select One)

- Copy of Award Notice  
 As Entered

Federal Award Issue Date	FAIN	CFDA No.
6/30/16	R25GM095401	93.859
CFDA Title		
Biomedical Research and Research Training		

**Agency-Specific Certifications/Assurances**

By signing this Research Subaward Agreement, Subrecipient makes the certifications and assurances required by Uniform Guidance: 2 CFR 200 et seq.

**General Terms and Conditions**

- Conditions on activities and restrictions on expenditure of Federal funds in appropriate acts are applicable to this subaward to the extent those restrictions are pertinent. This includes any recent legislation noted on the Federal Awarding Agency's Award Conditions website: <http://grants.nih.gov/policy/notices.htm>
- 2 CFR 200 and 45 CFR Part 75
- The Grants Policy Statement, including addenda in effect as of the beginning date of the period of performance or as amended found at: <http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>
- Interim Research Terms and Conditions found at: <https://grants.nih.gov/policy/index.htm> and Agency Specific Requirements found at <http://grants.nih.gov/grants/policy/NIH%20Interim%20Grant%20General%20Conditions.pdf> except for the following:
  - If applicable, the right to initiate an automatic one-time extension of the end date is replaced by the need to obtain prior written approval from the Pass-through Entity;
  - Any payment mechanisms and financial reporting requirements described in the applicable Agency Terms and Conditions and Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this Subaward Agreement; and
  - Any prior approvals are to be sought from the Pass-through Entity and not the Federal Awarding Agency.
- Title to equipment costing \$5,000 or more that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall unconditionally vest in the Subrecipient upon acquisition without further obligation to the Federal Awarding Agency, subject to the conditions specified in 2 CFR 200.313 of the Uniform Guidance.
- Treatment of Program Income:

Additive

Other, Pass-through Entity specify:

**NIH Only: Multiple PIs (MPIs) If the Federal Award Includes MPIs**

- This is not an MPI award
- This is an MPI award. Both parties will follow the finalized MPI Leadership Plan, and the MPI Plan (choose one)..

**Special Terms and Conditions****Copyrights:**

Subrecipient shall grant to Pass-through Entity an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward Agreement solely for the purpose of and only to the extent required to meet Pass-through Entity's obligations to the Federal Government under its Prime Award

**Data Rights:**

Subrecipient grants to Pass-through Entity the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet Pass-through Entity's obligations to the Federal Government under its Prime Award.

**Automatic Carryforward:**

- Yes
- No. If carryforward is restricted, requests for carryforward must be sent to the PTE's Principal Investigator shown in Attachment 3A.

**Work Involving Human and Animal Subjects:** (Select Applicable Options)

- Human Subjects:
- Animal Subjects:
- No Human or Animal Subjects

If human or animal subjects are now or subsequently become included in this research, Subrecipient agrees that any non-exempt human and/or animal subjects research protocol conducted under this Agreement shall be reviewed and approved by its Institutional Review Board (IRB) and/or its Institutional Animal Care and Use Committee (IACUC), as applicable, and that it will maintain current and duly approved research protocols for all periods of the Agreement involving human and/or animal subjects research. Subrecipient certifies that its IRB and/or IACUC are in full compliance with applicable state and federal laws and regulations. The Subrecipient certifies that any submitted IRB/IACUC approval represents a valid, approved protocol that is consistent with the Project associated with this subaward. In no event shall Subrecipient invoice or be reimbursable for any human- or animal-subjects-related expenses in a period where any applicable IRB/IACUC approval is not properly in place.

Subrecipient shall report any complaints that may indicate that a research subject's rights, safety or welfare may have been or were at risk of being adversely affected to the IRB or record. Complaints that are substantiated or determined to also involve non-compliance, or an unanticipated problem involving risk to subjects or others must be promptly reported to PTE's PI

Subrecipient shall maintain written records documenting compliance with requirements specified above and shall make these records available to the PTE upon request. Failure to comply with the conditions described in this section can result in termination of this agreement.

**Human Subjects Data:** (Select One)

- Not Applicable
- Applicable:

**Promoting Objectivity in Research Applicable to Subrecipients (Financial Conflicts of Interest):**

Subrecipient must designate herein which entity's financial conflicts of interest policy will apply: (Select One)

- PTE
- Subrecipient

If applying its own financial conflicts of interest policy, by execution of this Subaward Agreement, Subrecipient Institution certifies that its policy complies with the requirements of the relevant Federal Awarding Agency as identified herein: NIH - 42 CFR Part 50 Subpart F.

Subrecipient shall report any financial conflict of interest to PTE's Administrative Representative, as designated on Attachment 3A. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to Federal Awarding Agency. Such report shall be made before expenditure of funds authorized in this Subaward Agreement and within 45 days of any subsequently identified financial conflict of interest.

**Data Sharing and Public Access Policy:** (Check if Applicable)

- Applicable: Subrecipient agrees to comply with the Federal Award Agency's data sharing and public access policy requirements and the Data Management/Sharing Plan submitted to the Federal Awarding Agency and incorporated herein as Attachment A (Prime Award).

**Pilot Program for Enhancement of Contractor Employee Protections (48 CFR 3.9080):**

Subrecipient is hereby notified that they are required to: inform their employees working on any Federal award that they are subject to the whistleblower rights and remedies of the pilot program; inform their employees in writing of employee whistleblower protections under 41 U.S.C §4712 in the predominant native language of the workforce; and include such requirements in any agreement made with a subcontractor or subgrantee.

**Additional Terms** (as required by the Federal Award or to cover Human Subjects Data):

This Subaward Agreement is subject to the terms and conditions of the Pass-through Entity's Award, as attached. If there are any conflicting terms in the Prime award and this agreement, the terms of the Subaward Agreement take precedence.

This award/agreement consist of the Prime Award Agreement, plus the following:

1. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice NOT-OD-16-046: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-046.html>.

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>.

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:** 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.

8. The Year -06 budget period is slightly less than 12 months in length (full 12-month level of funds provided) so that the anniversary date for future non-competing awards will be April 1st. The Research Performance Progress Report (RPPR) will be due each year. See Attachment 4 for deadlines. Guidance on RPPR submission is documented in the RPPR Instruction Guide found at: <http://grants.nih.gov/grants/rppr/index.htm>.

This anniversary date may change the receipt date for the next competing continuation (Type 2) application. Consult the submission dates/deadlines on the NIH Office of Extramural Research Grants (OER) Home page at <http://grants.nih.gov/grants/dates.htm>.

**Invoicing & Payment Requirements:**

1. Pass-Through Entity will reimburse Subrecipient upon receipt of acceptable monthly invoices signed by Subrecipient's Certifying Official. 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 categories in Subrecipient's approved budget, included in Attachment 5.
2. All invoices shall be dated, sequentially numbered, and must include the following:
  - a. **Subaward Number (00009231)**
  - b. **PTE Prime Award Number (R25GM095401)**
  - c. **PTE Purchase Order Number** (contact the Pass-Through Entity's Financial Contact, shown in see Attachment 3A, to obtain a Purchase Order Number.
  - d. **PTE Principal Investigator Name**
  - e. **A signed certification as follows:** *Subrecipient certifies that the expenditures claimed represent actual expenses for committed effort and work performed under this Subaward. In accordance with 2 CFR 200, Section 200.415 (a), by signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).*

The Subrecipient may use the sample Invoice shown in Attachment 6, or an equivalent version that contains all the same information and signed certifications.

Invoices that do not include the above information may be delayed or returned unpaid.

3. Invoices shall be submitted by email (preferred) or by mail 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>. Please do not proceed with submitting invoices via email to [ucinvoice@berkeley.edu](mailto:ucinvoice@berkeley.edu) without first consulting the instructions
4. In addition, copies of all invoices shall be sent to the Pass-Through Entity's Financial Contact, Carlos Gonzalez at [cgonzalez275@berkeley.edu](mailto:cgonzalez275@berkeley.edu) (also see Attachment 3A), who can assist with related financial reporting questions and status of invoice payments. If hard-copy invoices are sent by mail, Subrecipient shall notify the Pass-Through Entity's Financial Contact at the time the invoices are mailed.
5. A sample Invoice is shown in Attachment 6, or the Subrecipient may use an equivalent version that includes all the same information in accordance with instructions in (2) above.
6. A final invoice shall be submitted within sixty (60) days after the project end date or applicable termination date. The final invoice shall be marked "FINAL" and include the following certification:

*"Payment of this final invoice shall constitute complete satisfaction of Prime Recipient's obligation under this Subagreement. Subrecipient releases and discharges The Regents of the University of California from all further claims and obligations upon payment thereof."*



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

Notice of Award

Federal Award Date: 06/30/2016



NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

**Grant Number:** 2R25GM095401-06**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:** 07/01/2016 – 03/31/2017**Project Period:** 04/01/2011 – 03/31/2021

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$212,683 (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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Connie Murphy  
Grants Management Officer  
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

**SECTION I – AWARD DATA – 2R25GM095401-06****Award Calculation (U.S. Dollars)**

Salaries and Wages

Fringe Benefits

Personnel Costs (Subtotal)

Materials &amp; Supplies

Travel

Other

Subawards/Consortium/Contractual Costs

Publication Costs

Equipment or Facility Rental/User Fees

Federal Direct Costs	\$198,634
Federal F&A Costs	\$14,049
Approved Budget	\$212,683
Total Amount of Federal Funds Obligated (Federal Share)	\$212,683
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$212,683</b>

<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$212,683</b>
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
6	\$212,683	\$212,683
7	\$200,673	\$200,673
8	\$200,673	\$200,673
9	\$200,673	\$200,673
10	\$200,673	\$200,673

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: 2016

IC	CAN	2016	2017	2018	2019	2020
GM	8472197	\$212,683	\$200,673	\$200,673	\$200,673	\$200,673

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

**NIH Administrative Data:**

PCC: T111NS / OC: 415B / Released: MURPHCO 06/27/2016

Award Processed: 06/30/2016 12:12:23 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 2R25GM095401-06**

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 – 2R25GM095401-06**

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 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 (FAPIS)). 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 – 2R25GM095401-06**

1. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice NOT-OD-16-046: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-046.html>.

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: 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.

8. The Year -06 budget period is slightly less than 12 months in length (full 12-month level of funds provided) so that the anniversary date for future non-competing awards will be April 1st. The Research Performance Progress Report (RPPR) will be due 45 days prior to this date (60 days for non-SNAP awards) each year. Guidance on RPPR submission is documented in the RPPR Instruction Guide found at: <http://grants.nih.gov/grants/rppr/index.htm>.

This anniversary date may change the receipt date for the next competing continuation (Type 2) application. Consult the submission dates/deadlines on the NIH Office of Extramural Research Grants (OER) Home page at <http://grants.nih.gov/grants/dates.htm>.

## **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

**SPREADSHEET SUMMARY****GRANT NUMBER:** 2R25GM095401-06**INSTITUTION:** UNIVERSITY OF CALIFORNIA BERKELEY

Budget	Year 6	Year 7	Year 8	Year 9	Year 10
Salaries and Wages					
Fringe Benefits					
Personnel Costs (Subtotal)					
Materials & Supplies					
Travel					
Other					
Subawards/Consortium/Contractual Costs					
Publication Costs					
Equipment or Facility Rental/User Fees					
<b>TOTAL FEDERAL DC</b>	<b>\$198,634</b>	<b>\$191,099</b>	<b>\$191,099</b>	<b>\$191,099</b>	<b>\$191,099</b>
<b>TOTAL FEDERAL F&amp;A</b>	<b>\$14,049</b>	<b>\$9,574</b>	<b>\$9,574</b>	<b>\$9,574</b>	<b>\$9,574</b>
<b>TOTAL COST</b>	<b>\$212,683</b>	<b>\$200,673</b>	<b>\$200,673</b>	<b>\$200,673</b>	<b>\$200,673</b>

Facilities and Administrative Costs	Year 6	Year 7	Year 8	Year 9	Year 10
F&A Cost Rate 1	8%	8%	8%	8%	8%
F&A Cost Base 1	\$175,607	\$119,671	\$119,671	\$119,671	\$119,671
F&A Costs 1	\$14,049	\$9,574	\$9,574	\$9,574	\$9,574



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

Notice of Award

Federal Award Date: 08/25/2016



NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

**Grant Number:** 2R25GM095401-06 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:** 07/01/2016 – 03/31/2017**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 \$97,024 (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 – 2R25GM095401-06 REVISED**

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

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

Federal Direct Costs \$288,471  
 Federal F&A Costs \$21,236  
 Approved Budget \$309,707  
 Total Amount of Federal Funds Obligated (Federal Share) \$309,707  
**TOTAL FEDERAL AWARD AMOUNT \$309,707**

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$97,024**

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
6	\$309,707	\$309,707
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:** 2016

IC	CAN	2016	2017	2018	2019	2020
GM	8472197	\$309,707	\$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:** 415B / **Released:** BURGEL 08/23/2016  
**Award Processed:** 08/25/2016 12:00:48 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 2R25GM095401-06 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 – 2R25GM095401-06 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.
- 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 – 2R25GM095401-06 REVISED**

This revised award reflects an increase of \$97,024 in accordance with the grantee's request of August 16, 2016 to restore the "Transfer Advisor" positions that were removed from the original awarded budget.

**TERMS AND CONDITIONS FROM PREVIOUS AWARD:**

1. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice NOT-OD-16-046: <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-16-046.html>.

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:** 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.

8. The Year -06 budget period is slightly less than 12 months in length (full 12-month level of funds provided) so that the anniversary date for future non-competing awards will be April 1st. The Research Performance Progress Report (RPPR) will be due 45 days prior to this date (60 days for non-SNAP awards) each year. Guidance on RPPR submission is documented in the RPPR Instruction Guide found at: <http://grants.nih.gov/grants/rppr/index.htm>.

This anniversary date may change the receipt date for the next competing continuation (Type 2) application. Consult the submission dates/deadlines on the NIH Office of Extramural Research Grants (OER) Home page at <http://grants.nih.gov/grants/dates.htm>.

## **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

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 2R25GM095401-06 REVISED

**INSTITUTION:** UNIVERSITY OF CALIFORNIA BERKELEY

Budget	Year 6	Year 7	Year 8	Year 9	Year 10
Salaries and Wages					
Fringe Benefits					
Personnel Costs (Subtotal)					
Materials & Supplies					
Travel					
Other					
Subawards/Consortium/Contractual Costs					
Publication Costs					
Equipment or Facility Rental/User Fees					
<b>TOTAL FEDERAL DC</b>	<b>\$288,471</b>	<b>\$280,936</b>	<b>\$273,060</b>	<b>\$274,578</b>	<b>\$267,748</b>
<b>TOTAL FEDERAL F&amp;A</b>	<b>\$21,236</b>	<b>\$16,761</b>	<b>\$16,131</b>	<b>\$16,252</b>	<b>\$15,706</b>
<b>TOTAL COST</b>	<b>\$309,707</b>	<b>\$297,697</b>	<b>\$289,191</b>	<b>\$290,830</b>	<b>\$283,454</b>

Facilities and Administrative Costs	Year 6	Year 7	Year 8	Year 9	Year 10
F&A Cost Rate 1	8%	8%	8%	8%	8%
F&A Cost Base 1	\$265,444	\$209,508	\$201,632	\$203,150	\$196,320
F&A Costs 1	\$21,236	\$16,761	\$16,131	\$16,252	\$15,706

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

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**Pass-through Entity (PTE)**

Name: The Regents of the University of California  
Address: Sponsored Projects Office, University of California, 2150 Shattuck Avenue, Suite 300  
City: Berkeley State: CA Zip+4: 94704-5940

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**PTE Administrative Contact**

Name: Theresa Saunders-Landreth, Subaward Specialist  
Address: Sponsored Projects Office, University of California, 2150 Shattuck Avenue, Suite 300  
City: Berkeley State: CA Zip+4: 94704-5940  
Telephone: 510-664-7401 Email: subcontracts@berkeley.edu  
COI Contact email (if different from above): jbaldwin@berkeley.edu

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**PTE Principal Investigator (PI)**

Name: Gary Firestone  
Address: Molecular & Cell Biology (MCB), Firestone Lab, 142 Life Sciences Addition, # 3200  
City: Berkeley State: CA Zip+4: 94720-3200  
Telephone: 510-642-8319 Email: glfire@berkeley.edu

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**PTE Financial Contact**

Name: Carlos Gonzalez, Research Administrator (contact this person for current Subaward PO Number)  
Address: 2111 Bancroft Way, # 344  
City: Berkeley State: CA Zip+4: 94720-3820  
Telephone: 510-664-4571 Email: cgonzalez275@berkeley.edu  
Emailed invoices?  Yes  No  
Invoice E-mail (if different): ucinvoice@berkeley.edu with cc. sent to PTE Financial Contact  
(See Attachment 2 for detailed invoicing instructions)  
Invoice Address (if different): (N/A)

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**PTE Authorized Official:**

Name: Noam Pines, Associate Director  
Address: Sponsored Projects Office, University of California, 2150 Shattuck Avenue, Suite 300  
City: Berkeley State: CA Zip+4: 94704-5940  
Telephone: 510-643-3891 Email: subcontracts@berkeley.edu  
Central Email: subcontracts@berkeley.edu

---

**Attachment 3B**Research Subaward Agreement  
Subrecipient Contacts

Subaward Number:

00009232

**Subrecipient Place of Performance for [FFATA](#) reporting**

Name: Chabot College

Address: 25555 Hesperian Blvd

City: Hayward State: CA Zip Code+4: 94545 Zip Code [Look-up](#)

EIN No.: 94-1670563 DUNS: 787243336 Parent DUNS: 071680961

Institution Type: Public/State Controlled Inst. of Higher Ed. Congressional District: 15

Is Subrecipient currently registered in [SAM.gov](#)?  Yes  No

Is Subrecipient exempt from reporting executive compensation?  Yes  No If no, complete 3B, page 2

**Subrecipient Administrative Contact**

Name: Char Perlas

Address: 25555 Hesperian Blvd

City: Hayward State: CA Zip Code: 94545

Telephone: 510-723-6897 Email: cperlas@chabotcollege.edu

**Subrecipient Principal Investigator**

Name: Agnello Braganza

Address: 25555 Hesperian Blvd

City: Hayward State: CA Zip Code: 94545

Telephone: 510-723-6886 Email: abraganza@chabotcollege.edu

**Subrecipient Financial Contact**

Name: Lorenzo Legaspi

Address: 7600 Dublin Blvd, 3rd Floor

City: Dublin State: CA Zip Code: 94568

Telephone: 925-485-5203 Email: llegaspi@clpccd.org

Central email: Is this the remittance address?  Yes  No

Remittance Address (if different):

**Subrecipient Authorized Official**

Name: Lorenzo Legaspi

Address: 7600 Dublin Blvd, 3rd Floor

City: Dublin State: CA Zip Code: 94568

Telephone: 925-485-5203 Email: llegaspi@clpccd.org

Central email:

**Attachment 3B Page 2**  
**Research Subaward Agreement**  
**Highest Compensated Officers**

Subaward Number:  
00009232

**Subrecipient:**

Institution Name: Chabot College

PI Name: Agnello Braganza

**Highest Compensated Officers**

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name:

Officer 1 Compensation:

Officer 2 Name:

Officer 2 Compensation:

Officer 3 Name:

Officer 3 Compensation:

Officer 4 Name:

Officer 4 Compensation:

Officer 5 Name:

Officer 5 Compensation:

<p><b>Attachment 4</b>  <b>Research Subaward Agreement</b>  <b>Reporting Requirements</b></p>
---

Pass-through Entity will check all that apply that the Subrecipient will agree to:

- A final technical/progress report will be submitted to the PTE's Principal Investigator identified in Attachment 3A, within sixty (60) days after the end of the period of performance.
- Monthly technical/progress reports will be submitted to the PTE's Principal Investigator identified in Attachment 3A, within fifteen (15) days after the end of the month.
- Quarterly technical/progress reports will be submitted within thirty (30) days after the end of each project quarter to the PTE's Principal Investigator identified in Attachment 3A.
- Technical/progress reports on the project as may be required by PTE's Principal Investigator in order that PTE may be able to satisfy its reporting obligations to the Federal Awarding Agency.
- Annual technical/progress reports will be submitted within seventy-five (75) days before the end of each project period to the PTE's Principal Investigator identified in Attachment 3A. If applicable, such report shall also include a detailed budget for the next budget period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval.
- In accordance with 37 CFR 401.14, Subrecipient agrees to notify the PTE's Principal Investigator identified in Attachment 3A, within sixty (60) days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Awarding Agency specific forms to the PTE's Principal Investigator identified in Attachment 3A, within sixty (60) days after the end of the period of performance, so that it may be included with the PTE's final invention report to the Awarding Agency. A negative report is required.
- A Certification of Completion, in accordance with 2 CFR 200.201(b)(3), will be submitted within thirty (30) days after the end of the project period to the PTE's Administrative Contact identified in Attachment 3A (for Fixed Price subawards only).
- Property Inventory Report; frequency, type and submission instructions listed here and only to be used when required by Pass-through Entity's Federal Award:

<p><b>Other Special Reporting Requirements</b></p>
--

This grant is subject to Streamline Noncompeting Award Procedures (SNAP). Technical/progress reports will be submitted, to the Pass-through Entity's Principal Investigator identified in Attachment 3.

Annual and Final technical/progress reports should include major milestones achieved during the funding period, and provide detailed information on how the funding was spent.

All reporting shall be to PTE and not to Awarding Agency.



## Attachment 5 (cont.)

### NIH Bridges to the Baccalaureate Chabot College

#### STATEMENT OF WORK September 1, 2016 – August 31, 2021 \*

##### **Proposed Activities:**

Chabot College, in collaboration with UC Berkeley and the Peralta Community College District, will conduct a series of events and provide a set of services designed to recruit NIH-targeted underrepresented minority students and help them learn about and prepare for careers in the biomedical and behavioral sciences. The goal is to increase transfer of targeted students to 4-year institutions and ultimately their successful graduation and pursuit of post-baccalaureate study and research careers. New, incoming students and continuing students in related courses and areas of study will be targeted for participation in two cohorts:

Pathways: a cohort of approximately 50-75 students on an ongoing basis who have expressed interest and who are engaged in coursework that will lead to completion of the pre-requisites for transfer into majors in biomedical and behavioral science and

Bridges: a cohort of 15 students each year (total from all participating colleges—75 over the 5-year grant period) who will participate in a mentored summer research opportunity on the Berkeley campus.

**Science and Research Career Workshops:** The Chabot Principal Investigator/Project Director (PI/PD), Agnello Braganza, Professor of Biology, will work with UC Berkeley Bridges Transfer Advisors to develop career workshops that inform students about the multitude of career options in the biological and biomedical transfer/career pathway.

**Subject-area Case Management:** Professor Braganza and Faculty Advisor Rebecca Otto will be matched with cohorts of Bridges and Pathways students and will monitor students' progress and provide input for matching students with Berkeley faculty-mentored research opportunities. Chabot faculty will also work with undergraduate student tutors to design tutoring and academic support for both Bridges and Pathways students, helping to ensure that Bridges students are academically prepared for the rigors of research internships and ultimately for transfer to four-year institutions.

**Data and Outcomes:** On an annual basis the Chabot College Office of Institutional Research will provide Chabot campus data on enrollment, transfer and graduation of students in biomedical and behavioral science majors with disaggregation of the NIH targeted underrepresented populations.

By expanding the knowledge students have about possible research careers and supporting students in their pursuit of these career goals, students will persist in their courses longer, improve their academic standing and transfer to a baccalaureate-granting institution.

\* Begin/end dates in this Attachment reflect those used at the proposal stage. For this Subagreement's begin/end dates refer to Subaward Period of Performance and Estimated Project Period on the Agreement Face Page.

# Attachment 5 (cont.)

Sub. No. 00009232, Att. 5 (cont.), Budget & Justification, Page 1 of 17

## RESEARCH & RELATED BUDGET - Budget Period 1

OMB Number: 4040-0001  
Expiration Date: 6/30/2016

ORGANIZATIONAL DUNS:

Enter name of Organization:

Budget Type:  Project  Subaward/Consortium

Budget Period: 1 Start Date: \* End Date: \*

### A. Senior/Key Person

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
DR	Agnello		Braganza		97,922.00		1.30		10,557.00	1,055.00	11,612.00
Project Role: <input type="text" value="PD/PI"/>											

Additional Senior Key Persons:     Total Funds requested for all Senior Key Persons in the attached file  Total Senior/Key Person

### B. Other Personnel

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	Faculty Advisor	<input type="text"/>	0.90	<input type="text"/>	7,038.00	704.00	7,742.00
4	Tutors (Undergrad Students)	<input type="text"/>	5.70	<input type="text"/>	12,000.00	240.00	12,240.00
<input type="text" value="5"/>	Total Number Other Personnel				Total Other Personnel		<input type="text" value="19,982.00"/>
Total Salary, Wages and Fringe Benefits (A+B)							<input type="text" value="31,594.00"/>

\* Begin/end dates in this Attachment reflect those used at the proposal stage. For this Subagreement's begin/end dates refer to Subaward Period of Performance and Estimated Project Period on the Agreement Face Page.

**C. Equipment Description**

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file

Total Equipment

**D. Travel**

	Funds Requested (\$)
1. Domestic Travel Costs ( Incl. Canada, Mexico and U.S. Possessions)	<input style="width: 100%;" type="text"/>
2. Foreign Travel Costs	<input style="width: 100%;" type="text"/>
<b>Total Travel Cost</b>	<input style="width: 100%;" type="text"/>

**E. Participant/Trainee Support Costs**

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input style="width: 100%;" type="text"/>
2. Stipends	<input style="width: 100%;" type="text"/>
3. Travel	<input style="width: 100%;" type="text"/>
4. Subsistence	<input style="width: 100%;" type="text"/>
5. Other <input style="width: 400px;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 40px;" type="text"/> Number of Participants/Trainees	<b>Total Participant/Trainee Support Costs</b>
	<input style="width: 100%;" type="text"/>

**F. Other Direct Costs**

		Funds Requested (\$)
1.	Materials and Supplies	
2.	Publication Costs	
3.	Consultant Services	
4.	ADP/Computer Services	
5.	Subawards/Consortium/Contractual Costs	
6.	Equipment or Facility Rental/User Fees	
7.	Alterations and Renovations	
8.	Workshops	1,500.00
9.	Institutional Research	1,000.00
10.		
<b>Total Other Direct Costs</b>		<b>2,500.00</b>

**G. Direct Costs**

		Funds Requested (\$)
<b>Total Direct Costs (A thru F)</b>		<b>34,094.00</b>

**H. Indirect Costs**

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
MTDC, 8%	8.00	34,094.00	2,728.00
<b>Total Indirect Costs</b>			<b>2,728.00</b>

**Cognizant Federal Agency** (Agency Name, POC Name, and POC Phone Number) Western Field Office, DHHS, Program Support Center - Cost Allocation Services  
Patrick Smith, Branch Chief  
(415) 437-7834

**I. Total Direct and Indirect Costs**

		Funds Requested (\$)
<b>Total Direct and Indirect Institutional Costs (G + H)</b>		<b>36,822.00</b>

**J. Fee**

Funds Requested (\$)

**K. Budget Justification**

(Only attach one file.) ChabotBudgetJustification.pdf Add Attachment Delete Attachment View Attachment

**RESEARCH & RELATED BUDGET - Budget Period 2**

OMB Number: 4040-0001  
Expiration Date: 6/30/2016

ORGANIZATIONAL DUNS:  Enter name of Organization:

Budget Type:  Project  Subaward/Consortium Budget Period: 2 Start Date: \* End Date: \*

**A. Senior/Key Person**

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
DR	Agnello		Braganza		97,922.00		1.30		10,557.00	1,056.00	11,613.00
Project Role: <input type="text" value="PD/PI"/>											

Additional Senior Key Persons:     Total Funds requested for all Senior Key Persons in the attached file   
Total Senior/Key Person

**B. Other Personnel**

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	Faculty Advisor	<input type="text"/>	<input type="text"/>	<input type="text"/>	7,038.00	704.00	7,742.00
4	Tutors (Undergrad Students)	<input type="text"/>	<input type="text"/>	<input type="text"/>	12,000.00	240.00	12,240.00

Total Number Other Personnel Total Other Personnel   
Total Salary, Wages and Fringe Benefits (A+B)

\* Begin/end dates in this Attachment reflect those used at the proposal stage. For this Subagreement's begin/end dates refer to Subaward Period of Performance and Estimated Project Period on the Agreement Face Page.

**C. Equipment Description**

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file

Total Equipment

**D. Travel**

	Funds Requested (\$)
1. Domestic Travel Costs ( Incl. Canada, Mexico and U.S. Possessions)	<input style="width: 100%;" type="text"/>
2. Foreign Travel Costs	<input style="width: 100%;" type="text"/>
<b>Total Travel Cost</b>	<input style="width: 100%;" type="text"/>

**E. Participant/Trainee Support Costs**

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input style="width: 100%;" type="text"/>
2. Stipends	<input style="width: 100%;" type="text"/>
3. Travel	<input style="width: 100%;" type="text"/>
4. Subsistence	<input style="width: 100%;" type="text"/>
5. Other <input style="width: 400px;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 30px;" type="text"/> Number of Participants/Trainees	<b>Total Participant/Trainee Support Costs</b>
	<input style="width: 100%;" type="text"/>

**F. Other Direct Costs**

		Funds Requested (\$)
1.	Materials and Supplies	
2.	Publication Costs	
3.	Consultant Services	
4.	ADP/Computer Services	
5.	Subawards/Consortium/Contractual Costs	
6.	Equipment or Facility Rental/User Fees	
7.	Alterations and Renovations	
8.	Workshops	1,500.00
9.	Institutional Research	1,000.00
10.		
<b>Total Other Direct Costs</b>		<b>2,500.00</b>

**G. Direct Costs**

		Funds Requested (\$)
<b>Total Direct Costs (A thru F)</b>		<b>34,095.00</b>

**H. Indirect Costs**

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
MTDC, 8%	8.00	34,095.00	2,728.00
<b>Total Indirect Costs</b>			<b>2,728.00</b>

**Cognizant Federal Agency** (Agency Name, POC Name, and POC Phone Number) Western Field Office, DHHS, Program Support Center - Cost Allocation Services  
Patrick Smith, Branch Chief  
(415) 437-7834

**I. Total Direct and Indirect Costs**

		Funds Requested (\$)
<b>Total Direct and Indirect Institutional Costs (G + H)</b>		<b>36,823.00</b>

**J. Fee**

Funds Requested (\$)

**K. Budget Justification**

(Only attach one file.) ChabotBudgetJustification.pdf Add Attachment Delete Attachment View Attachment

**RESEARCH & RELATED BUDGET - Budget Period 3**

OMB Number: 4040-0001  
Expiration Date: 6/30/2016

**ORGANIZATIONAL DUNS:**  **Enter name of Organization:**

**Budget Type:**  Project  Subaward/Consortium **Budget Period: 3** **Start Date:** \* **End Date:** \*

**A. Senior/Key Person**

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
DR	Agnello		Braganza		97,922.00		1.30		10,557.00	1,056.00	11,613.00
<b>Project Role:</b> <input type="text" value="PD/PI"/>											

**Additional Senior Key Persons:**     **Total Funds requested for all Senior Key Persons in the attached file**  **Total Senior/Key Person**

**B. Other Personnel**

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	Faculty Advisor	<input type="text"/>	<input type="text"/>	<input type="text"/>	7,038.00	704.00	7,742.00
4	Tutors (Undergrad Students)	<input type="text"/>	<input type="text"/>	<input type="text"/>	12,000.00	240.00	12,240.00

**Total Number Other Personnel** **Total Other Personnel**  **Total Salary, Wages and Fringe Benefits (A+B)**

\* Begin/end dates in this Attachment reflect those used at the proposal stage. For this Subagreement's begin/end dates refer to Subaward Period of Performance and Estimated Project Period on the Agreement Face Page.

**C. Equipment Description**

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file

Total Equipment

**D. Travel**

	Funds Requested (\$)
1. Domestic Travel Costs ( Incl. Canada, Mexico and U.S. Possessions)	<input style="width: 100%;" type="text"/>
2. Foreign Travel Costs	<input style="width: 100%;" type="text"/>
<b>Total Travel Cost</b>	<input style="width: 100%;" type="text"/>

**E. Participant/Trainee Support Costs**

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input style="width: 100%;" type="text"/>
2. Stipends	<input style="width: 100%;" type="text"/>
3. Travel	<input style="width: 100%;" type="text"/>
4. Subsistence	<input style="width: 100%;" type="text"/>
5. Other <input style="width: 400px;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 30px;" type="text"/> Number of Participants/Trainees	<b>Total Participant/Trainee Support Costs</b>
	<input style="width: 100%;" type="text"/>

**F. Other Direct Costs**

		Funds Requested (\$)
1.	Materials and Supplies	
2.	Publication Costs	
3.	Consultant Services	
4.	ADP/Computer Services	
5.	Subawards/Consortium/Contractual Costs	
6.	Equipment or Facility Rental/User Fees	
7.	Alterations and Renovations	
8.	Workshops	1,500.00
9.	Institutional Research	1,000.00
10.		
<b>Total Other Direct Costs</b>		<b>2,500.00</b>

**G. Direct Costs**

		Funds Requested (\$)
<b>Total Direct Costs (A thru F)</b>		<b>34,095.00</b>

**H. Indirect Costs**

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
MTDC, 8%	8.00	34,095.00	2,728.00
<b>Total Indirect Costs</b>			<b>2,728.00</b>

**Cognizant Federal Agency** (Agency Name, POC Name, and POC Phone Number) Western Field Office, DHHS, Program Support Center - Cost Allocation Services  
Patrick Smith, Branch Chief  
(415) 437-7834

**I. Total Direct and Indirect Costs**

		Funds Requested (\$)
<b>Total Direct and Indirect Institutional Costs (G + H)</b>		<b>36,823.00</b>

**J. Fee**

Funds Requested (\$)

**K. Budget Justification**

(Only attach one file.) ChabotBudgetJustification.pdf Add Attachment Delete Attachment View Attachment

**RESEARCH & RELATED BUDGET - Budget Period 4**

OMB Number: 4040-0001  
Expiration Date: 6/30/2016

ORGANIZATIONAL DUNS:  Enter name of Organization:

Budget Type:  Project  Subaward/Consortium Budget Period: 4 Start Date:  \* End Date:  \*

**A. Senior/Key Person**

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
DR	Agnello		Braganza		97,922.00		1.30		10,557.00	1,056.00	11,613.00
Project Role: <input type="text" value="PD/PI"/>											

Additional Senior Key Persons:     Total Funds requested for all Senior Key Persons in the attached file   
Total Senior/Key Person

**B. Other Personnel**

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
		Cal.	Acad.	Sum.			
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
1	Faculty Advisor	<input type="text"/>	<input type="text"/>	<input type="text"/>	7,038.00	704.00	7,742.00
4	Tutors (Undergrad Students)	<input type="text"/>	<input type="text"/>	<input type="text"/>	12,000.00	240.00	12,240.00

Total Number Other Personnel Total Other Personnel   
Total Salary, Wages and Fringe Benefits (A+B)

\* Begin/end dates in this Attachment reflect those used at the proposal stage. For this Subagreement's begin/end dates refer to Subaward Period of Performance and Estimated Project Period on the Agreement Face Page.

**C. Equipment Description**

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file

Total Equipment

**D. Travel**

	Funds Requested (\$)
1. Domestic Travel Costs ( Incl. Canada, Mexico and U.S. Possessions)	<input style="width: 100%;" type="text"/>
2. Foreign Travel Costs	<input style="width: 100%;" type="text"/>
<b>Total Travel Cost</b>	<input style="width: 100%;" type="text"/>

**E. Participant/Trainee Support Costs**

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input style="width: 100%;" type="text"/>
2. Stipends	<input style="width: 100%;" type="text"/>
3. Travel	<input style="width: 100%;" type="text"/>
4. Subsistence	<input style="width: 100%;" type="text"/>
5. Other <input style="width: 400px;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 30px;" type="text"/> Number of Participants/Trainees	<b>Total Participant/Trainee Support Costs</b>
	<input style="width: 100%;" type="text"/>

**F. Other Direct Costs**

		Funds Requested (\$)
1.	Materials and Supplies	
2.	Publication Costs	
3.	Consultant Services	
4.	ADP/Computer Services	
5.	Subawards/Consortium/Contractual Costs	
6.	Equipment or Facility Rental/User Fees	
7.	Alterations and Renovations	
8.	Workshops	1,500.00
9.	Institutional Research	1,000.00
10.		
<b>Total Other Direct Costs</b>		<b>2,500.00</b>

**G. Direct Costs**

		Funds Requested (\$)
<b>Total Direct Costs (A thru F)</b>		<b>34,095.00</b>

**H. Indirect Costs**

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
MTDC, 8%	8.00	34,095.00	2,728.00
<b>Total Indirect Costs</b>			<b>2,728.00</b>

**Cognizant Federal Agency** (Agency Name, POC Name, and POC Phone Number) Western Field Office, DHHS, Program Support Center - Cost Allocation Services  
Patrick Smith, Branch Chief  
(415) 437-7834

**I. Total Direct and Indirect Costs**

		Funds Requested (\$)
<b>Total Direct and Indirect Institutional Costs (G + H)</b>		<b>36,823.00</b>

**J. Fee**

Funds Requested (\$)

**K. Budget Justification**

(Only attach one file.) ChabotBudgetJustification.pdf Add Attachment Delete Attachment View Attachment

**RESEARCH & RELATED BUDGET - Budget Period 5**

OMB Number: 4040-0001  
Expiration Date: 6/30/2016

ORGANIZATIONAL DUNS:  Enter name of Organization:

Budget Type:  Project  Subaward/Consortium Budget Period: 5 Start Date:  \* End Date:  \*

**A. Senior/Key Person**

Prefix	First	Middle	Last	Suffix	Base Salary (\$)	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)
						Cal.	Acad.	Sum.			
DR	Agnello		Braganza		97,922.00		1.30		10,557.00	1,056.00	11,613.00
Project Role: <input type="text" value="PD/PI"/>											

Additional Senior Key Persons:     Total Funds requested for all Senior Key Persons in the attached file   
Total Senior/Key Person

**B. Other Personnel**

Number of Personnel	Project Role	Months			Requested Salary (\$)	Fringe Benefits (\$)	Funds Requested (\$)	
		Cal.	Acad.	Sum.				
<input type="text"/>	Post Doctoral Associates	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="text"/>	Graduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="text"/>	Undergraduate Students	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
<input type="text"/>	Secretarial/Clerical	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	
1	Faculty Advisor	<input type="text"/>	<input type="text"/>	<input type="text"/>	7,038.00	704.00	7,742.00	
4	Tutors (Undergrad Students)	<input type="text"/>	<input type="text"/>	<input type="text"/>	12,000.00	240.00	12,240.00	
5	<b>Total Number Other Personnel</b>					<b>Total Other Personnel</b>		<input type="text" value="19,982.00"/>
							<b>Total Salary, Wages and Fringe Benefits (A+B)</b>	<input type="text" value="31,595.00"/>

\* Begin/end dates in this Attachment reflect those used at the proposal stage. For this Subagreement's begin/end dates refer to Subaward Period of Performance and Estimated Project Period on the Agreement Face Page.

**C. Equipment Description**

List items and dollar amount for each item exceeding \$5,000

Equipment item	Funds Requested (\$)
<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Additional Equipment:

Total funds requested for all equipment listed in the attached file

Total Equipment

**D. Travel**

	Funds Requested (\$)
1. Domestic Travel Costs ( Incl. Canada, Mexico and U.S. Possessions)	<input style="width: 100%;" type="text"/>
2. Foreign Travel Costs	<input style="width: 100%;" type="text"/>
<b>Total Travel Cost</b>	<input style="width: 100%;" type="text"/>

**E. Participant/Trainee Support Costs**

	Funds Requested (\$)
1. Tuition/Fees/Health Insurance	<input style="width: 100%;" type="text"/>
2. Stipends	<input style="width: 100%;" type="text"/>
3. Travel	<input style="width: 100%;" type="text"/>
4. Subsistence	<input style="width: 100%;" type="text"/>
5. Other <input style="width: 400px;" type="text"/>	<input style="width: 100%;" type="text"/>
<input style="width: 40px;" type="text"/> Number of Participants/Trainees	<b>Total Participant/Trainee Support Costs</b>
	<input style="width: 100%;" type="text"/>

**F. Other Direct Costs**

		Funds Requested (\$)
1.	Materials and Supplies	
2.	Publication Costs	
3.	Consultant Services	
4.	ADP/Computer Services	
5.	Subawards/Consortium/Contractual Costs	
6.	Equipment or Facility Rental/User Fees	
7.	Alterations and Renovations	
8.	Workshops	1,500.00
9.	Institutional Research	1,000.00
10.		
<b>Total Other Direct Costs</b>		<b>2,500.00</b>

**G. Direct Costs**

		Funds Requested (\$)
<b>Total Direct Costs (A thru F)</b>		<b>34,095.00</b>

**H. Indirect Costs**

Indirect Cost Type	Indirect Cost Rate (%)	Indirect Cost Base (\$)	Funds Requested (\$)
MTDC, 8%	8.00	34,095.00	2,728.00
<b>Total Indirect Costs</b>			<b>2,728.00</b>

**Cognizant Federal Agency**  
 (Agency Name, POC Name, and  
 POC Phone Number)

Western Field Office, DHHS, Program Support Center - Cost Allocation Services  
 Patrick Smith, Branch Chief  
 (415) 437-7834

**I. Total Direct and Indirect Costs**

		Funds Requested (\$)
<b>Total Direct and Indirect Institutional Costs (G + H)</b>		<b>36,823.00</b>

**J. Fee**

Funds Requested (\$)

**K. Budget Justification**

(Only attach one file.)	ChabotBudgetJustification.pdf	Add Attachment	Delete Attachment	View Attachment
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**RESEARCH & RELATED BUDGET - Cumulative Budget**

		Totals (\$)
<b>Section A, Senior/Key Person</b>		58,064.00
<b>Section B, Other Personnel</b>		99,910.00
Total Number Other Personnel	25	
<b>Total Salary, Wages and Fringe Benefits (A+B)</b>		157,974.00
<b>Section C, Equipment</b>		
<b>Section D, Travel</b>		
1. Domestic		
2. Foreign		
<b>Section E, Participant/Trainee Support Costs</b>		
1. Tuition/Fees/Health Insurance		
2. Stipends		
3. Travel		
4. Subsistence		
5. Other		
6. Number of Participants/Trainees		
<b>Section F, Other Direct Costs</b>		12,500.00
1. Materials and Supplies		
2. Publication Costs		
3. Consultant Services		
4. ADP/Computer Services		
5. Subawards/Consortium/Contractual Costs		
6. Equipment or Facility Rental/User Fees		
7. Alterations and Renovations		
8. Other 1	7,500.00	
9. Other 2	5,000.00	
10. Other 3		
<b>Section G, Direct Costs (A thru F)</b>		170,474.00
<b>Section H, Indirect Costs</b>		13,640.00
<b>Section I, Total Direct and Indirect Costs (G + H)</b>		184,114.00
<b>Section J, Fee</b>		

**NIH Bridges to the Baccalaureate  
Chabot College  
BUDGET AND BUDGET JUSTIFICATION**

<b>Proposed Annual Budget Sep 1, 2016 – Aug 31, 2021 *</b>				
	<b>#</b>	<b>Salary</b>	<b>Benefits</b>	<b>TOTAL</b>
<b><u>Key Personnel</u></b>				
Agnello Braganza, Project Dir	1	10,557	1,056	11,612
<b><u>Other Personnel</u></b>				
Faculty Advisor	1	7,038	704	7,742
Tutors (Undergrad Students)	4	12,000	240	12,240
<b>PERSONNEL</b>				<b>31,594</b>
<b><u>Other Direct Costs</u></b>				
Workshops/Field Trips				1,500
Institutional Research				1,000
<b>OTHER DIRECT COSTS</b>				<b>2,500</b>
Indirect Costs @ 8%				2,728
<b>TOTAL</b>				<b>36,822</b>

**BUDGET JUSTIFICATION**

**A. Senior Key Personnel:**

**Principal Investigator/Project Director (PI/PD): 225 hours at \$46.92/hr; benefits (10.0%) = \$7,742**

In collaboration with the UC Berkeley and Peralta Community College District Principal Investigators/Project Directors, the Chabot PI/PD will be responsible for overall planning, implementation and evaluation of the Bridges to the Baccalaureate program at Chabot College. Responsibilities include oversight of recruitment, selection, and coordination of tutoring and other activities and ongoing monitoring of the progress of Bridges students and Pathways participants. The PI/PD works in consultation with the Berkeley PI/PD, Program Coordinator and Transfer Advisors to ensure maximum synchronization and leveraging of resources. The PI/PD serves on the Bridges Steering Committee and meets regularly with the Chabot Bridges Subcommittee, which includes the Berkeley Program Coordinator and Transfer Advisors, and Chabot Faculty Advisor as needed.

**B. Other Personnel:**

**Faculty Advisor (1): 150 hours at \$46.92/hr; benefits (10.0%) = \$7,004**

Three (3) Faculty Advisors (one each at Berkeley City College, College of Alameda, and Laney College) will collaborate with the Project Director to identify potential Bridges and Pathways students, monitor their progress, and facilitate workshops related to the biomedical and behavioral sciences.

**Tutors (4): 1000 hours at \$12/hr; benefits (2.0%) = \$10,112**

Four (4) undergraduate student tutors will provide structured support to help Bridges and Pathways students in coursework that leads to transfer in biomedical and behavioral science.

**C. Other Expenses:**

**Workshops:** speaker honoraria, cost of facilities, materials, etc. **\$1,500**

**Institutional Research:** Provides support to community college Institutional Research Office for data tracking and reporting on program participants. **\$1,000**

\* Begin/end dates in this Attachment reflect those used at the proposal stage. For this Subagreement's begin/end dates refer to Subaward Period of Performance and Estimated Project Period on the Agreement Face Page.

**Attachment 6**  
**Research Subaward Agreement**  
**Sample Invoice**

**PTE ADDRESS: (SUBMIT INVOICE TO)**

Accounts Payable Office  
 University of California  
 2195 Hearst Avenue, MailCode 1101  
 Warren Hall, Room 150  
 Berkeley, CA 94720-1101

Subaward No:	00009232
PTE Prime Award No.:	R25GM095401
PTE Purchase Order No.:	TBD
PTE Principal Investigator:	Gary Firestone

Invoices must be submitted by mail or email in accordance with University policies and procedures instructions are located at the Berkeley Accounts Payable Office link: <http://controller.berkeley.edu/departments/accounts-payable/helpful-hints-our-vendors>

**SUBRECIPIENT ADDRESS: (REMIT TO)**

Subrecipient Organization Name  
 Address  
 City, State, Zip-Code  
 Contact Name  
 Contact Phone/Email  
 Make Check Payable to: \_\_\_\_\_

Subrecipient Tax ID No: \_\_\_\_\_  
 Invoice Date: \_\_\_\_\_  
 Invoice No.: \_\_\_\_\_  
 Performance Period: \_\_\_\_\_  
 Billing Period: \_\_\_\_\_

**SUBRECIPIENT COSTS:**

Subrecipient costs must be identified on each invoice by categorical line item in accordance with the approved budget.

Salaries & Wages  
 Employee Benefits  
 Equipment & Facilities\*  
 Supplies, Materials & Services  
 Travel - Domestic  
 Travel - Foreign  
 Consultants  
 Subcontracts  
 Other

Project Expenditures		Cost Share Expenditures (If Applicable)	
for Current Billing Period	Cumulative for Performance Period	for Current Billing Period	Cumulative for Performance Period
\$ -	\$ -	\$ -	\$ -
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**TOTAL DIRECT COSTS:**

Indirect Costs (MTDC/TDC \_\_\_\_\_% of \_\_\_\_\_ Base)

**TOTAL COSTS:**

**TOTAL AMOUNT DUE:**

**NOTES/REFERENCES:**

\*Equipment definition: refer to PART 200—UNIFORM ADMINISTRATIVE REQUIREMENTS, COST PRINCIPLES, AND AUDIT REQUIREMENTS FOR FEDERAL AWARDS, Subpart A, §200.33 Equipment.  
[http://www.ecfr.gov/cgi-bin/text-idx?SID=421d3e3a239e70bdcef843df7113da50&mc=true&node=se2.1.200\\_133&rgn=div8](http://www.ecfr.gov/cgi-bin/text-idx?SID=421d3e3a239e70bdcef843df7113da50&mc=true&node=se2.1.200_133&rgn=div8)

**CERTIFICATION:**

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

Lorenzo Legaspi, Vice Chancellor, Business Services

Subrecipient authorized representative name and title

(925) 485-5203

Phone Number

\_\_\_\_\_  
 Subrecipient authorized representative signature

\_\_\_\_\_  
 Date