2011–2012 GRANT ADMINISTRATION MANUAL

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PREFACE

This is the 2011–12 edition of the University of California Office of the President (UCOP) Research Grants Program Office (RGPO) Grant Administration Manual for Special Research Programs (SRP). The SRP are composed of the California Breast Cancer Research Program (CBCRP), the Tobacco-Related Disease Research Program (TRDRP) and the California HIV/AIDS Research Program (CHRP)[1]. This manual supersedes all previous program-specific editions. The guidelines and procedures set forth in this manual apply to all active SRP grants. The effective date for this manual, including any changes from previous editions, is August 1, 2011. Therefore, all Principal Investigators and institutional officials concerned with grants management are urged to read this edition carefully and to refer to relevant sections for answers to questions that arise concerning SRP grants. The Contracts and Grants (C&G) offices, the accounting offices and the Principal Investigators will be notified by e-mail when revised editions of this manual are released. Except under unusual circumstances, changes in ongoing policies and procedures are implemented at the beginning of the fiscal year. In special circumstances, some new policies and procedures may become effective immediately and will be communicated by letter. Recipients may seek exceptions to the new policy within 90 days of notification, and if the exception is not permitted, they will be allowed to terminate the award if the new terms are found to be unacceptable. Forms to be used in preparing annual reports and requesting changes in budget, carry forward of funds, and grant extensions of an award can be found at the end of this manual (see Chapter 8).

By acceptance of an award, a grant recipient agrees to comply with the guidelines and procedures set forth in this manual and in future applicable editions.

This manual is available at all SRP websites and will also be accessible to all new grantees under the "deliverables" section of the SRP online grants management system.[2]

1 PROCEDURES FOR NOTIFICATION AND FUNDING OF AWARDEES

The UCOP Research Grants Program Office awards grants to California institutions. Principal Investigators for SRP grant awards must be California-based. After funding decisions have been made, all new applicants will be alerted by e-mail using the online grants management system. The process for the transfer of funds to awardees differs for University of California (UC) and non-UC institutions. **Please note:** Grant awards are contingent on the availability of funds and an Award Letter is not a promise of funding.

1.1 Notification of Award

The funding process is initiated when the Principal Investigator (PI) agrees to accept an award. An Award Notice is issued electronically using the grants management system. The Award Notice will indicate the amount of the grant award, direct and indirect cost allocations and the number of years of approved funding. Any recommendations from the peer reviewers that result in changes or contingencies will also be reflected in the Award Notice (these changes may include particular unallowable costs).

For CHRP awards only: All applicants recommended for funding will receive a proposalCENTRAL e-mail notification from CHRP informing them of the recommendation, and that the transfer of funds is contingent upon the governor's approval of the State of California budget and receipt of a sufficient allocation to the CHRP. When CHRP receives its fiscal year allocation following approval of the state budget, the final budget for each award will be revised in accordance with available funding, the reviewers' recommendations and CHRP funding policies. An electronic Award Notice will then be released to the applicant from proposalCENTRAL. The Award Notice will specify the approved budget and number of years approved for funding.

1.2 Pre-funding Administrative Review

If a Principal Investigator for a new award has prior funding from CBCRP, TRDRP or CHRP, the submission of all Scientific and Fiscal Reports for existing awards must be up to date prior to the release of new funding. If a Scientific Report or Fiscal Report is more than one month overdue, funding of a new award will be delayed until the previous reports are submitted and accepted by the respective program.

[1] Note: CHRP was known as the Universitywide AIDS Research Program (UARP) from 1983 through June 30, 2007.
[2] proposalCENTRAL (https://proposalcentral.altum.com)

All applications recommended for funding are reviewed for appropriate evidence of human subjects and/or animal subjects review and approval, study population justifications and potential overlapping support from other funding sources. Any issues that may arise are negotiated and resolved between the assigned SRP Program Officer and the applicant. Grants may be awarded contingent upon acceptance by the Principal Investigator and Organizational Official of a reduced term or scope of work from that proposed in the application. In such cases, the award will be made only after submission of an official addendum to the application that specifies the revised scope of work, signed by both the Principal Investigator and the Organizational Official for grant-funded contracts. Finally, the title and abstract of the project must be approved prior to website publication.

1.3 Payment

1.3.1 Institutions Other Than University of California Campuses

Before an award will be made to a prospective grant recipient, the UCOP RGPO must ascertain that the recipient organization and Principal Investigator have the following standard requirements in place:

- Adequate organizational, management and accounting systems to administer the award and assure compliance with award terms and conditions
- Adequate financial resources, equipment, facilities and technical skills to perform the proposed work, or the ability to obtain them
- Ability to perform the proposed work within the approved time frame, taking into consideration all existing commitments
- A satisfactory grant performance record
- A satisfactory record of integrity and business ethics (i.e., liability insurance, bonding, indemnification of the UC Regents and nondiscrimination and affirmative action in employment)

A prospective grant recipient may satisfy modified requirements if this is determined to be appropriate upon review by UCOP. Prospective grant recipients may meet these requirements directly or by making arrangements with another research organization that can meet these requirements.

When the requirements described in section 1.3.1 have been satisfied, and upon resolution of all administrative issues, the RGPO prepares an agreement document between the recipient institution and the University of California. This agreement constitutes the framework for administration of SRP awards and incorporates by reference the original application, any addenda to the application, the Award Notice and the current edition of this manual (supplied to the PI, C&G officials, and institutional signing officials as an electronic copy). As soon as UCOP has executed the grant agreement, it will be uploaded to the proposalCENTRAL grants management system. The institutional signing official at the grantee organization will then print out the agreement, sign it and upload the agreement as a PDF in proposalCENTRAL.

Upon receipt of the fully executed agreement and resolution of all administrative issues, including human and/or animal subjects' approval(s), the UCOP Research Grants Program Office will release funding. The institutional official and the PI are then notified that funding is being released, and will be forwarded a separate copy of the Award Notice. A check for the budgeted amount, including both direct and indirect costs, will be sent to the recipient institution. This process requires at least 4–6 weeks. Funding may be released in a lump sum or on an annual basis. Please check with your SRP Program Officer for more information on the disbursement cycle for your award.

If the duration of the grant is more than one year, administration of the grant in each subsequent year will be subject to the rules in the most recent edition of the Grant Administration Manual. The Contracts and Grants office, accounting office and the PI will receive updated editions of the manual as they are released.

1.3.2 University of California Campuses

Upon resolution of all budgetary and scope of work issues, RGPO will e-mail the Award Notice to the signing official for the recipient campus, with copies provided to the Contracts and Grants offices, the accounting office and the PI. The Award Notice states the amount of the award and the number of years of approved funding. Any recommendations of the peer reviewers that result in changes or contingencies are reflected in the Award Notice; these changes may include unallowable costs.

Once any pending administrative issues have been resolved, including human and/or animal subjects approval, the RGPO will initiate payment by executing an interlocation transfer of funds in the appropriate amount. Expenditure of funds by the campus will constitute acceptance of the terms and conditions of the award.

If the duration of the grant is more than one year, administration of the grant in each subsequent year will be subject to the rules in the most recent edition of this manual. The Contracts and Grants office, accounting office and the Principal Investigator will receive updated editions of the Grant Administration Manual from proposalCENTRAL.

1.3.3 University of California Campuses Funded through the CHRP Interagency Agreement with the State Office of AIDS

Upon resolution of all administrative issues, the RGPO will prepare a multicampus award agreement between the University of California Office of the President (UCOP) and the individual campus. This award constitutes the framework for administration of SRP awards and incorporates by reference the original application, any addenda to the application, the Award Notice and the current edition of this manual. As soon as UCOP has executed the multicampus agreement, it will be uploaded to the proposalCENTRAL grants management system. The institutional signing official at the grantee organization will then print out the agreement, sign it and upload the agreement as a PDF in proposalCENTRAL.

For multicampus awards, no initial transfer of funds is made. The grantee campus will invoice CHRP for ledgered expenditures on a monthly basis.

Delay in start-up of community interventions of more than nine months after receipt of funding will result in withholding of any continuation funding until a determination can be made about the viability of the project.

If the duration of the grant is more than one year, an amendment of the award will be issued for subsequent periods, and administration of the grant in each subsequent year will be subject to the rules in the most recent edition of the Grant Administration Manual. The Contracts and Grants office, accounting office and the PI will receive updated editions of the manual as they are released.

1.4 Distribution of Funds

If there is a violation of RGPO policies, then RGPO reserves the right to reduce or recall funds. Funds that have been transferred may be recalled when required reports are delinquent or if lack of appropriate research progress is evident.

The Award Notice e-mailed to the PI and institution will indicate the start and end dates of the project, as well as the monetary allocations for each year. CBCRP and TRDRP issue only one Award Notice at the beginning of the grant period. CHRP issues an Award Notice for each grant year. (For administrative purposes, the Award Notices for subsequent years should be treated as amendments to the original award.) In general, an Amended Award Notice will not be issued if a grant ends early (e.g., graduation of a dissertation award PI) or if minor reductions in F&A rate occur.

CBCRP and TRDRP encumber full funding for approved multiyear projects when the award is made. Thus, funding of approved years of a grant does not depend on later allocations to CBCRP or TRDRP. CBCRP or TRDRP may make exceptions to this policy when necessary. For CHRP, the award cycle for the initial funding period is not activated until the governor of the State of California approves the state budget for that fiscal year, including an allocation to CHRP within the California budget. The award start date will be retroactive to the start date on the Award Notice. The end date of the award will not be affected by this action.

Payment is made after all administrative issues related to the application are cleared and, for institutions other than UC campuses, after the program receives a signed agreement. For grantees who will be paid on an annual basis, payment for each additional year will be made as soon as possible after the start date for the next annual period, and is contingent on timely receipt and acceptance by the SRP Program Officer of the prior year's annual Progress Report (see Chapter 7), budget change requests (see Chapter 3) and current assurances regarding human and animal subjects.

The start date of a postdoctoral fellowship award may be delayed for up to six months to allow completion of an existing fellowship or equivalent support from the institution. Likewise, the start date of a dissertation award can be delayed for up to six months to complete other funding. The end date of the award will not be affected by these actions. In such cases, postdoctoral fellows may request a No-Cost Time Extension to compensate for a delay in completing the project due to the delayed start date. If such an extension is granted, the rules for a No-Cost Time Extension apply (see Chapter 3).

Approval and payment of continuation funding for grants requires that previous Annual Progress and Fiscal Reports have been submitted and accepted. This means that continuation funding (or approval to encumber annual funding already released to the grantee organization) will only be provided to grantees whose Progress and Fiscal Reports are up to date.

For multiyear award recipients **other than the University of California**, payment may be made as a lump sum of 80 percent of the approved multiyear budget in the Award Notice, providing that sufficient organizational controls are in place at the grantee organization. The decision to disburse lump sum funds for more than one year will be made by the SRP Program Director. Institutions that receive advance disbursement will be required to report on and return to RGPO any interest earned on the funds disbursed. Upon receipt and acceptance of both the Final Scientific and Final Fiscal Reports, the remaining 20 percent of the final year's budget will be paid to these non-UC institutions.

For one-year award recipients **other than the University of California**, the payment will be 80 percent of the approved budget, with the remaining 20 percent paid in arrears upon receipt and acceptance by the program of all required Final Reports (see Chapter 7). The program may recall funds that have been transferred, or may reduce, delay or discontinue the payment of approved funds when required reports are delinquent or if lack of appropriate research progress is evident.

University of California award recipients will be authorized to spend the full amount in each year of funding; however, the program has the right to recall the full amount of funding for the year if the required reports are not submitted on time in acceptable form.

Note that UC campuses receiving awards funded by the State Office of AIDS Interagency Agreement will be paid in arrears as described in section 1.3.3.

2 MANAGEMENT OF GRANTS

If the duration of the grant is more than one year, administration of the grant in each subsequent year will be subject to the rules in the most recent edition of this manual. The Contracts and Grants office, accounting office and the Principal Investigator will receive updated editions of the manual as they are released, and are responsible for becoming familiar with any changes.

2.1 Communication with Research Program Staff

Each award is assigned to a Program Officer, and any issues relating to the conduct of research under the terms of an award should be referred to the assigned Program Officer. Grants are assigned to Program Officers based on the subject area of the research. Principal Investigators and Contracts and Grants Officers are informed of the contact information of their assigned Program Officer at the time of award.

Program	Telephone	E-mail
CBCRP	(888) 313-BCRP or (510) 987-9884	cbcrp@ucop.edu
TRDRP	(510) 987-9870	trdrp@ucop.edu
CHRP	(510) 987-9855	chrp@ucop.edu

2.2 Use of Funds

Award funds may be used only for expenditures necessary to carry out the approved research or related work to achieve the approved specific aims. Particular unallowable costs, if any, are specified in the Award Notice. In some instances stipulations are placed on a portion of the expenditures.

Recipient institutions are required to maintain accounts, records and other evidence pertaining to costs incurred. Awardees may be subject to the examination and audit of the UC Regents and the Auditor General of the State of California for a period of three years after receipt of Final Fiscal and/or Progress Reports. The examination and audit will be confined to those matters connected with the performance of the award, including, but not limited to, administering the award.

Any changes in approved expenditures must be preapproved according to the guidelines in section 3.

2.2.1 Travel

2.2.1.1 Program Meetings (formerly Annual Meetings)

The approved budget for travel to the Program Meeting cannot be used for other purposes unless: 1) the investigator or a representative attended the meeting and has funds left over in this category; or 2) no meeting was held (for CBCRP, funds will automatically be carried forward). *If the investigator or a representative does not attend a meeting, the Program Meeting funds must be returned to the program.*

2.2.1.2 Scientific Meetings

Funds to defray the cost of domestic and international travel are allowed if adequately justified.

2.2.1.3 Project-Related

Funds to defray the cost of project-related domestic and international travel are allowed if adequately justified in detail. Expenses in this category must be related to completion of the project, such as travel to survey sites to collect data or travel to institutions to analyze samples or perform experiments.

2.2.2 Equipment Purchase and Disposition

2.2.3

> ***Note:*** *The NIH equipment definition is: An article of tangible nonexpendable personal property that has a useful life of more than one year and an acquisition cost per unit that equals or exceeds $5,000 or the capitalization threshold established by the organization, whichever is less.*

RGPO has adopted the NIH definition of a $5,000 threshold for equipment. Only equipment requested in the application and approved in the award budget may be purchased with program funds. Equipment not approved in the award budget may only be purchased after prior approval has been obtained in writing from RGPO (see Chapter 3). Approved equipment must be purchased prior to the last 120 days of the term of the grant. This period may include the term of an approved No-Cost Time Extension.

The RGPO reserves the right to transfer title to equipment purchased with program funds to the Regents of UC or to a third party named by the RGPO. The RGPO SRP Program Officer will notify the recipient institution of its intention to transfer title within 120 days of an award's termination date. After that period, ownership of equipment purchased with program funds rests with the institution to which the award was made. If a Principal Investigator transfers an award to another institution, ownership of equipment transfers to the new institution (see Chapter 3) if requested by the PI and if the institution is eligible to receive program awards.

2.2.3 Administrative Costs as Direct Costs

Allowable direct-cost expenses may include administrative costs only if the following two conditions are satisfied: 1) the services, functions or activities are directly necessary for the conduct of the grant research; and 2) these administrative costs have not been included in the calculation of the recipient institution's Facilities and Administration (F&A) rate agreement approved by the federal government. (See also the description of each award mechanism regarding special restrictions on F&A costs in specific mechanisms.)

2.2.4 Fraud or Misuse of Funds

Report of fraud or misuse of funds can be made to the Program Director or to the University of California, Office of the University Auditor.

Program	Director	Telephone
CBCRP	Dr. Marion Kavanaugh-Lynch	(510) 987-9878
TRDRP	Dr. Bart Akoi	(510) 987-9537
CHRP	Dr. George Lemp	(510) 987-9856
UC Auditor	www.ucop.edu/audit	(510) 987-0482

2.2.5 Family and Medical Leave with Pay

CBCRP promotes equitable treatment of all postdoctoral scholars who receive financial support from CBCRP. All CBCRP-supported postdoctoral scholars shall be entitled to 12 weeks of unpaid family and medical leave per year for the reasons covered by the Family and Medical Leave Act and the California Family Rights Act. Additionally, postdoctoral scholars shall be eligible for family and medical leave to care for a seriously ill domestic partner. CBCRP-supported postdoctoral scholars shall be entitled to use funds from their CBCRP Award to receive pay for up to six weeks of family and medical leave over the term of the grant. During a family or medical leave, the sponsoring institution shall not require duties from the postdoctoral scholar.

CHRP defers to the existing policy of the grantee institution(s) with regard to Family and Medical Leave with Pay.

3 CHANGES DURING THE AWARD PERIOD

Allowable changes during the award period are listed below. Grant recipients should be familiar with the terms of awards pertaining to specific mechanisms. These may be found in the Call for Applications or special RFA announcements.

3.1 Facilities & Administration (F&A) Rate

The CBCRP and TRDRP programs allocate a facilities and administration fee (formerly called indirect costs) to non-UC institutions on a modified direct cost basis at the appropriate federally approved F&A rate; Department of Health and Human Services (DHHS) rates

must be used if available. Allowed F&A costs are based on the direct-cost budget approved by RGPO for the CBCRP and TRDRP programs. In the absence of a federal agreement, an equivalently documented F&A rate for the institution may be used. The CBCRP and TRDRP programs do not allow payment of F&A costs for postdoctoral fellowships or dissertation awards.

For CHRP, when the source of funds is special state appropriations, the maximum allowable rate for F&A costs to non-UC institutions is a percentage of the total direct costs, excluding equipment, as follows: 25 percent for IDEA, Institutional Support, Individual Research, Community Collaborative and New Investigator Awards. F&A costs are not provided for postdoctoral fellowships or dissertation awards. *In no case will CHRP provide F&A costs in excess of the amount that would have been permitted under the respective institution's federally negotiated rate and base.*

UC campuses may not charge F&A costs to the RGPO SRP awards that are funded by special state appropriations. However, UC campuses may charge F&A costs when the SRP awards are funded by an extramural contract or grant. In such cases, RGPO will pay F&A costs to both UC and non-UC institutions at the rate approved by the sponsor of the extramural award. The Request for Applications will specify the maximum allowable F&A rate and base allowable for these awards.

3.1.1 Increases in Institutional F&A Rate

Only those provisional or pending increases in F&A rates that are documented prior to finalizing the award can be included in the approved award budget. The maximum F&A rate that RGPO will pay is the lesser of 1) the federally approved rate that is current for the budget year; or 2) the rate provided for in the approved budget. Under no circumstances will the approved budget for a project be supplemented to reflect an increase in F&A rate. It is not permissible to reallocate funds from the direct-cost budget to cover increases in the F&A rate.

3.1.2 Decreases in Institutional F&A Rate

If the F&A rate decreases below that provided for in the approved budget, RGPO will pay overhead at the new, lower rate and will not award to the institution the difference between the originally requested amount and the amount generated by the new rate. Any overpayment of F&A costs must be returned to RGPO.

3.1.3 F&A Rules for a Subcontracts and Budget Implications

For non-UC institutions, RGPO will allow F&A costs associated with a subcontract in a manner consistent with OMB Circular A-21 (www.whitehouse.gov/omb/circulars_a021_2004): F&A costs shall be distributed to applicable sponsored agreements . . . consisting of all salaries and wages, fringe benefits, materials and supplies, services, travel . . . up to the first $25,000 of each subgrant or subcontract (regardless of the period covered by the subgrant or subcontract). Equipment, capital expenditures, charges for patient care and tuition remission, rental costs, scholarships, and fellowships, as well as the portion of each subgrant and subcontract in excess of $25,000, shall be excluded from modified total direct costs. This means that only the first $25,000 of a subcontract is eligible for F&A costs. Because UC campuses are prohibited from collecting F&A: 1) if a UC campus is the subcontracted partner, then no F&A costs can be included as part of the subcontract; and 2) if a UC campus is the recipient institution, then F&A costs can be a portion of any subcontracts to non-UC institutions. Note that for CBCRP grants, the amount of the subcontracted partner's F&A costs can be added to any award type that direct costs cap. Thus, the direct-costs portion of the grant to the recipient institution may exceed the award type cap by the amount of the F&A costs to the subcontracted partner's institution.

3.1.4 Documentation

At the initiation of a new award, RGPO will require documentation of the federally approved (DHHS approval document or equivalent) F&A for the grant's start date as shown on the Award Notice. RGPO will re-examine the F&A rate for each funded institution at the start of each grant's fiscal year. RGPO must have on file a copy of the institution's current, federally approved F&A agreement (or appropriate documentation of the alternative rate if the institution does not have a federal agreement), which is pertinent to all RGPO grants. RGPO must be notified within 60 days of a change in an institution's F&A rate.

3.2 Other Support and PI/Key Personnel Percent Effort

Overlapping support for the project is not allowed. If duplicate applications are approved for funding by both a program within RGPO and another agency, the applicant must choose one funding source. In the event that any key personnel named in an RGPO SRP research project receives other support for research that duplicates any portion of the research funded by an RGPO SRP award or that increases any key personnel's total percent effort above 100 percent, then it is the responsibility of the Principal Investigator and institution to notify RGPO so that the return or reduction of overlapping funds or a change in project aims can be negotiated. The PI and all key personnel cannot be assigned percent effort to RGPO grants and all items of other grant support that exceeds 100 percent. Failure to

notify RGPO of current active and pending grant support and accurate key personnel percent effort is considered a violation of the terms of the award and may delay funding.

Note: Starting July 1, 2007, follow the NIH Guidelines and calculation scheme for showing percent FTE as "months devoted to project." See the following links for further assistance:
(http://grants.nih.gov/grants/policy/person_months_conversion_chart.xls and
http://grants.nih.gov/grants/policy/person_months_faqs.htm)

The percent effort for the PI and all key personnel for each RGPO grant must be established when the grant is initiated and updated with each Annual Progress or Final Scientific Report. If the PI's FTE changes by more than 25 percent or falls below the minimum required for the award type, then RGPO must be notified immediately. Finally, the percent effort for a grant reporting period must be stated as a specific number and not as a range. The minimum PI effort for each RGPO award type is shown in the table below.

Grant Type	CBCRP	TRDRP	CHRP
Dissertation	80%	80%	n/a
Postdoctoral fellowship	80%	75%	90%
New investigator	n/a	n/a	n/a
IDEA	5%	No minimum	10%
STEP award	5%	n/a	n/a
Research project	n/a	No minimum	n/a
RFA	10%	n/a	n/a
Institutional Award	n/a	n/a	10%
TRC, SPRC	10%	n/a	n/a
CRC (CBCRP) or Community Collaborative (TRDRP and CHRP)	10%	No minimum	10%

When to Submit a Request Form

This table provides an overview of the individual budget category dollar amounts and percentages that need to be exceeded before submitting a "Request to Change Approved Expenditures" form.

Budget Category	Dollar and Percentage Limits
Personnel (a)	$2,500 and more than 25% of the working budget* line item
Supplies, Expenses, Project-related travel (a)	$2,500 and more than 25% of the working budget* line item
Consultants/Subcontractors (a)	$1,500 and more than 25% of the working budget * line item
Equipment (b)	Any new equipment items, or for approved items that will increase by more than 25% as shown in the working budget*
Travel (c)	See below

*** The working budget** is the award budget for year #1 *or* the budget in continuation years that includes the award budget and any Carry Forward amounts. Newly approved changes will become part of the working budget that will be shown on the grant's fiscal reports.

(a) Personnel; Supplies, Expenses; and Project-related Travel; and Consultants/Subcontracts: if the amount in question is *both* more than the listed dollar cap for the category *and* more than 25% of the amount approved in the award notice/current working budget, then a request to change approved expenditures is required.

(b) Equipment: If the cost of an equipment item has increased by more than 25%, then a request to change approved expenditures is required.

(c) Travel: A request to change approved expenditures is required if the approved working budget for travel to scientific meetings is greater than 25%. Reductions of all or part of existing scientific meeting travel budgets and moving the amounts to other categories is permitted without a request to change approved expenditures. In general, increases of 25% in travel budget beyond the cap of $2,000/year per PI will not be approved. For TRDRP only, the maximum travel expenditure for TRDRP's Program Meeting is $500. See also Section 2.2.1.1 for guidelines regarding Program Meeting Travel.

For CHRP Center and Institutional Support Grants only: a request for Change of Approved Expenditures form is required for Equipment, Personnel, Supplies, Project Related Travel, Consultants, Subcontracts and Travel expense categories exceeding $25,000, or when the amount of combined expense categories rebudgeted request exceeds $25,000.

3.3 Changes to Approved Expenditures Budget Categories

Note: *Budget changes made without prior approval are subject to disallowance. We recommend notifying the Program Officer assigned to the grant of significant budget changes prior to submitting a request form. Major concern areas include: changes in personnel or a supplies budget that exceeds 25%* ***and*** *$2,500; new equipment purchases; added travel expenses; or unspent funds within a fiscal year that exceed 25% of the working budget* ***or*** *$75,000.*

Grant recipients may wish to expend funds differently from the approved working budget. However, certain budget category increases or decreases require submission of a request form, an explanation of the need for budget changes and signature approval from the assigned Program Officer and/or Program Director.

Requests for changes must be submitted to the program for approval on the Request to Change Approved Expenditures form (see Chapter 8) and may be submitted at any time. This form calls for justification of the requested change(s), including: 1) specification of the budget categories from which and to which funds would be transferred; 2) the reason for the change — specification of how the change will facilitate the achievement of the research objectives; and 3) an explanation of how the purpose for which funds were originally approved will be met. Changes may not be implemented until written approval has been obtained from the program. For UC grants, the campus accounting office will receive a copy of the approved request.

Changes that violate the basic conditions of the award are not permitted, e.g., reducing the PI time commitment to less than the minimum required for the award type. A requested change in expenditure may result in a change in the relative dollar amounts in the direct and F&A cost portions of the award; however, the total dollar amount of the award and the F&A rate approved in the original award must remain constant. Direct and F&A funds may be moved from an overhead category to a non-overhead category (e.g., from Personnel to Equipment). However, the F&A costs associated with the original budget category must be forfeited and returned to the funding program. It is also permissible to move funds from a non-overhead category to an overhead category (e.g., from Equipment to Personnel); in this case, the transferred funds must be apportioned to the appropriate direct and F&A costs. In either case, the total dollar amount of the award and the F&A rate approved in the original award must remain constant. In addition, changes that increase the direct costs cannot exceed any cap amount specific for the award type. Any requested reapportionment of the budget from direct to F&A costs or vice-versa must be presented and explained on the Request to Change Approved Expenditures form. (See Sections 3.1.1 and 3.1.2 for requirements on changes to F&A costs.)

Grant budgets may include expenses for medical care that are reasonably necessary for any injury to a human subject that results directly from participating in authorized research funded by an RGPO award. Injury is an event that generates medical costs and that is directly caused by participating in research. If the research project is reasonably believed to involve a significant risk of human subject injury, the initial budget may include funds for medical treatment. If unanticipated injury occurs, re-budgeting is permitted to pay for treatment, subject to the terms and conditions for changes to approved expenditures.

3.4 Changes to Independent Investigator Awards

If for any reason work on an RGPO project cannot be continued either under the direction of the original Principal Investigator or at the recipient institution, the Principal Investigator or an official representative of the recipient institution must notify RGPO within seven business days of the project's change in status to discuss the available options. To obtain RGPO approval for changes, a written proposal must be submitted by the institution.

If, after discussion, RGPO does not accept the requested changes, all parties will be notified in writing by RGPO and the project must be terminated. In this case, the Final Progress Report must be submitted to RGPO within 60 days and the Final Fiscal Report, along with all unexpended funds, within 90 days of the termination date.

3.4.1 Change of Principal Investigator or Key Personnel

RGPO must be notified immediately if:

- The Principal Investigator's percent effort devoted to the project decreases by 25 percent or more annually from the level reported in either the application or the most recent report of a change (e.g., from 40 percent to 30 percent FTE)
- The employment classification or percent of the Principal Investigator's appointment at the recipient institution changes
- The Principal Investigator withdraws from the project, resigns from the recipient institution, takes a leave of absence from the recipient institution for any reason or is not involved in the day-to-day operations of the project longer than 90 consecutive days
- The Principal Investigator is no longer eligible to be a Principal Investigator at the recipient institution
- The Principal Investigator changes primary residence to one outside California
- Key personnel are deleted or added to the project

If the project can be continued at the original recipient institution, the recipient institution may propose the appointment of a new Principal Investigator. To effect a change, the institution must provide RGPO with a written explanation for the Principal Investigator's resignation and a justification for the appointment of the nominee, including his/her biographical sketch and Other Support statement. The nominee may assume responsibility for the project only after RGPO has approved the replacement. Ordinarily, a change of PI will not be approved during the first six months of an award.

3.4.2 Change of Institution

If the Principal Investigator is moving to another California institution eligible to receive RGPO awards, the award may be transferred to the new institution. At the request of the PI, ownership of materials and equipment purchased or created with RGPO grant funds for work on the project transfers to the new institution (see Section 2.3). Awards may not be transferred to institutions outside California. The procedures for transferring an award are outlined below.

3.4.2.1 Original Recipient Institution

The following items must be received from the original recipient institution prior to transfer of funds to the new institution:

- A **letter** from an institutional signing official (or C&G official) that provides the termination date and agrees to release the grant.
(RGPO must receive a **Final Fiscal Report** and a return of funds by check (non-UC) or Interlocation Transfer (UC) within 90 days of the termination date.)
- A **Final Scientific Report** must be submitted and accepted

Note: The original institution's approved F&A rate is applied to the direct costs expended by the termination date to calculate the amount of F&A costs retained by the institution. The balance of the unexpended direct and F&A costs revert to RGPO. The exact amount to be returned will be determined after receipt of a Final Fiscal Report, which must be submitted within 90 days of the termination date.

3.4.2.2 Prospective Recipient Institution

RGPO must receive a letter of intent to accept the award from the prospective recipient institution before RGPO can approve a new institution. In addition, the following documents must be submitted (contact the RGPO Contracts and Grants Unit to obtain these forms):

- **Cover Page** with original signatures
- **Budget Summary** for remaining project period, using the estimated unexpended balance from the original institution
- **Detailed Budgets** for each remaining year with associated budget justifications
- **Key Personnel**
- **Biographical Sketches** for key personnel
- **Other Support** for key personnel
- **Facilities and Resources**
- **Human and/or Animal Subject Assurances**, where applicable, from a federally approved IRB/IACUC
- **Certification of the approved F&A rate** (where applicable)

3.4.2.3 F&A Cost Recovery

When the move involves a transfer from an institution eligible to recover F&A costs to one that has a lower F&A rate or is not eligible to recover F&A costs, the award to the prospective institution will provide funds for direct costs remaining in the grant plus F&A costs, if any, appropriate to the prospective institution.

When the prospective institution has a higher F&A rate than the original institution, the PI may reallocate direct costs to cover the higher F&A costs only if the research goals are not compromised by the re-budgeting. For CHRP the maximum indirect costs supported would be 25 percent of the direct expenses, excluding equipment. SRP must approve a written explanation from the PI as to how the research goals will be accomplished with a reduced direct-cost budget.

If the prospective recipient institution is not a UC campus, funding will be initiated according to the applicable procedures described in Section 1.1; procedures for UC campuses are described in Section 1.2.

Payment to the prospective recipient institution will be made only after the original recipient institution has released the award and RGPO has approved the transfer. In the event that the amount returned to RGPO is different from the estimated unexpended balance, the award to the new institution will be adjusted accordingly.

3.5 Changes to Collaborative Awards

Changes to Collaborative Awards should follow the basic grant guidelines set forth in Sections 3.1 to 3.4. In general, specified collaborations between institutions and investigators must be resigned if any of the participating investigators and/or institutions resigns. Exceptions will be considered on a case-by-case basis and may require submission of a new application and peer review.

3.6 Changes to Career Development Awards

Career Development Awards cannot be reassigned to another Principal Investigator. The rules regarding changes to career development/research training awards are the same as those for research project awards with additional requirements as listed in sections 3.6.1 and 3.6.2.

3.6.1 Changes to New Investigator Awards

Since these awards are designed to further the career of a particular investigator, the Principal Investigator of an award may not be changed. If the PI of a New Investigator Award resigns for any reason, the PI must submit a letter within seven business days of the PI's termination date, co-signed by a Contracts and Grants official, notifying RGPO of the intent to terminate the award. The Final Progress Report must be submitted to RGPO within 60 days and the Final Fiscal Report along with all unexpended funds within 90 days of the termination date.

If the PI of a New Investigator Award changes departments or institutions, the new department chair must provide a letter describing the environment and commitment to the investigator's continued development (use Letter of Support form in the most recent application packet). The PI must continue to devote the minimum percent effort as specified by the program in the application materials package (50 percent for TRDRP, 25 percent for CBCRP). The primary appointment and the primary residence of a new investigator must remain in California. Changes made without prior approval are subject to disallowance and possible recall of funds.

3.6.2 Changes to Postdoctoral Fellowship and Dissertation Awards

If a recipient of one of these awards resigns the award for any reason, he/she must submit a letter, co-signed by a Contracts and Grants official, notifying RGPO of the intent to terminate the award. For Dissertation Awards, no grant spending may occur after the PI graduates (i.e., the institution confers the degree).

The following changes are not permissible and will result in termination of the award: 1) a change in title and position, resulting in loss of eligibility for the award; and 2) a drop in time commitment to less than the minimum specified and approved in the grantee's original funded application. RGPO must be informed of all changes that may affect training. Of particular concern are those that are critical to the training, including: 1) the nature of the research project; 2) the mentor; 3) the facilities and resources; 4) other sources of support; and 5) the institution.

If proposed changes would have the effect of nullifying the above defining conditions of training, or if the requested changes are not acceptable to RGPO, the project must be terminated immediately. In this case, the Final Progress Report must be submitted to RGPO within 60 days, and the Final Fiscal Report within 90 days of the termination date; all unexpended funds must be returned to RGPO within 90 days. If the appointment status of a postdoctoral fellow changes, then the award must be terminated immediately.

3.7 Unexpended Funds

During all but the final budget year, unexpended funds may be transferred to a subsequent budget year through submission of a Request to Carry Forward Unexpended Funds form (see Section 3.7.1). During the final year, funds may be carried forward beyond the original grant termination date through submission of a Request for No-Cost Time Extension form (see Section 3.7.2).

RGPO SRP funds cannot be commingled with other program or operating budgets, and cannot be used for any fiscal year-end expenditures or deficits not directly related to the purposes of the RGPO SRP award. RGPO will require justification of large expenditures in the final months of an award. *To effect a carry-forward, grantees must also comply with all applicable carry-forward procedures and timetables at their own institution.*

3.7.1 Carry-Forward Request

The grantee must obtain prior written approval from RGPO to carry forward unexpended funds when the total unexpended balance exceeds 25 percent of the original annual direct cost allocation or $75,000.

Approval to carry forward RGPO SRP grant funds is requested by submitting a Request to Carry Forward Unexpended Funds form (see Chapter 8) no later than 30 days prior to the end of the project period, and it must be accompanied by the annual Progress Report (see Section 7.1) and any updated assurances that are applicable. Funds must be carried forward into the same budget category from

which they originated, unless a Request to Change Approved Expenditures form is submitted and approved as outlined in Section 3.3.

As a rule, the subsequent year's disbursement will be postponed if the carry-forward amount is greater than 50 percent of the current year's disbursement and greater than $75,000. However, there may be compelling reasons not to withhold the subsequent year's disbursement, and this action will be at the discretion of the SRP Program Director after investigating the reasons for the large carry forward.

If the subsequent year's disbursement is postponed, the PI will be instructed to request the next year's disbursement when 25 percent of the funds that were carried forward have been expended or obligated. This request must be accompanied by an interim Annual Fiscal Report. The PI will be instructed to submit this request in sufficient time to avoid a disruption in cash flow.

RGPO may require the return of unexpended funds not carried forward according to the procedures outlined above or may reduce future allocations accordingly.

3.7.2 No-Cost Time Extension

In the event a Principal Investigator is unable to complete the proposed work prior to the award termination date, a no-cost time extension for three months, six months, or 12 months may be requested by submitting a Request for No-Cost Time Extension form (see Chapter 8), creating an additional project year. Such a request must be received by RGPO no later than 30 days prior to the end of the final year of the award. The request must include:

- The projected funds remaining
- An explanation for the need to extend the project
- Any updated assurances that are applicable

Three-month extensions require submission of only the request form. Thus, the Final Scientific Report for the final 15 months (nine months if the original final year was six months) of the project is due 60 days after the new end date. Six- and 12-month extension requests require a complete annual Progress Report (see Section 7.1). However, if a grant is awarded for 18 months and the PI has filed a Progress Report within the past six months, then a three-, six-, or 12-month extension request may be approved without submission of an additional Progress Report. In such cases, a full Progress Report must be submitted within six months of the extension period or two months after the grant terminates.

The approved Request for No-Cost Time Extension form serves also as the approval to carry forward funds into a new budget year. The Annual Fiscal Report is still due within 90 days of the original fiscal year end. Failure to submit the request and reports may result in loss of the funds remaining at the original termination date.

3.7.3 Unexpended Funds at Award Termination

Any unexpended funds remaining after award termination must be returned to RGPO within 90 days.

4 ACKNOWLEDGMENT OF SUPPORT

All scientific publications resulting from research conducted with support from the state-funded RGPO SRP programs must acknowledge receipt of such support. The wording to be used is:

This research was supported by funds from the _____ [California Breast Cancer, or California Tobacco-Related Disease or California HIV/AIDS] Research Grants Program Office of the University of California, Grant Number _____.

5 DISPUTE RESOLUTION

Disputes are defined as disagreements with a decision by RGPO program staff that would terminate, suspend, or shorten the duration or amount of an award.

The awardee must contest a decision in writing to the Executive Director for the Research Grants Program Office, University of California, Office of the President, within 30 days of receiving notification of a program's action. The Executive Director may, if an awardee shows good cause, grant a reasonable extension of time for the submission of the statement. The statement must include a complete description of the basis for the dispute, including pertinent facts, supporting arguments and documentation. The dispute statement must be submitted officially by that institution, and it must be signed by the official authorized to sign for the institution, as well as by the Principal Investigator. No dispute shall affect any authority of the University of California, Office of the President, the

Vice President for Research and Graduate Studies, the Executive Director for the RGPO or the SRP Program Directors.

Upon receipt of a statement contesting a program's action, the Executive Director for the RGPO shall make a decision as to whether the dispute is reviewable under this policy and notify the institution and/or Principal Investigator, and the appropriate SRP Program Director, of the determination. If the Executive Director determines that the dispute is covered by this policy, the Executive Director shall appoint a dispute-resolution committee and transmit the statement to the members. This committee will be composed of two or more persons who are knowledgeable about both the type of research in question and research grant management. The dispute-resolution committee shall provide the complainant an opportunity to submit additional statements and documentation relevant to the dispute resolution committee's deliberation of the issues. The dispute resolution committee may, at its discretion, invite the institutional official, the Principal Investigator and any other person(s) to discuss the pertinent issues with the committee and submit such additional information as the committee deems appropriate.

Based upon its review, the committee will prepare a written decision to be signed by the members. The dispute resolution committee shall send the written decision as advice to the Executive Director for the RGPO, who will render a final written decision and transmit it to the complainant, the members of the dispute-resolution committee and the SRP Program Director. This written decision is not subject to appeal within the University of California.

6 SCIENTIFIC MISCONDUCT AND CONFLICT OF INTEREST

6.1 Scientific Misconduct

The University of California RGPO manages allegations of scientific misconduct in general accord with the policies and procedures employed by the National Institutes of Health (NIH). The Department of Health and Human Services' (HHS) Office of Research Integrity is responsible for implementing HHS regulations regarding scientific misconduct in research conducted with NIH and other support from the U.S. Public Health Service.

The administrative actions imposed by HHS include the following: correction of the scientific literature; special plan of supervision to ensure integrity of the scientific research; certification of the accuracy of the scientific data; certification of the accuracy of sources and contributions for scientific ideas and writings; prohibition against service on PHS advisory committees or as a consultant; and debarment from receipt of federal funds. These actions are for a specified duration, depending on the nature and seriousness of the misconduct.

Applicants for or recipients of grants from the RGPO must promptly inform the RGPO of an administrative action or notification of disciplinary action by HHS, either at the time of application or within 30 days of the notification of disciplinary action or imposition of the administrative action. In general, the University will apply the same administrative or disciplinary action. For example, if HHS has debarred an investigator from applying for or receiving NIH awards for a specified period of time, that investigator would also be excluded from applying for or receiving awards from the programs within RGPO. To take another example, if an investigator has entered into a voluntary agreement with HHS for a special oversight and supervision of the investigator's grant applications, research and publications, that agreement would apply to that investigator's grant applications to, or awards from, the programs within RGPO.

Grant applicants or recipients may request that HHS administrative actions be waived or modified with respect to a grant application or awards from the RGPO. In such case, the application must present a justification for the request.

RGPO must be notified promptly of any research misconduct allegations or administrative action taken by any funding agency or institution against an RGPO-funded investigator. For all UC applicants and awardees, research misconduct allegations related to RGPO-funded programs (or programs under consideration for funding) will be referred for investigation and determination to the applicant and/or grantee's campus Research Compliance Officer. For non-UC awards, matters related to research misconduct will be referred to the University of California Office of Ethics, Compliance and Audit Services.

6.2 Conflict of Interest

Grantees must establish safeguards to prevent employees, consultants, members of governing bodies, and others who may be involved in grant-supported activities from using their positions for purposes that are, or give the appearance of being, motivated by a desire for private financial gain for themselves or others (such as those with whom they have family, business or other ties). These safeguards must be reflected in written standards of conduct. Except as provided below, the programs within RGPO do not require a grantee to establish separate standards of conduct if it maintains such standards for its non-grant-supported activities, as long as those standards are consistent with state and local laws and cover, at a minimum, expected conduct in regard to financial interest, gifts, gratuities and favors;

nepotism; and such other areas as political participation and bribery.

The grantee is not required to submit its general standards of conduct to RGPO for review or approval; however, a copy must be made available to each officer of the grantee, each employee and consultant working on the grant-supported project or activity, each member of the governing board, if applicable and, upon request, the RGPO program awarding office. The grantee is responsible for enforcing its standards of conduct, taking appropriate action on individual infractions and informing the program if the infraction is related to an award. If a suspension or separation action is taken by a grantee against a PI or other key personnel under an RGPO SRP grant, the appropriate RGPO SRP Program Officer must be notified.

Institutions that have active awards from the National Institutes of Health (NIH) are required to apply NIH policy regarding investigators' financial conflicts of interest to grant awards from the RGPO. NIH policy can be found on the website http://grants.nih.gov/grants/policy. This policy requires investigators to disclose actual and potential conflicts to a designated official at their institution, and for the institution and investigators to comply with the requirements of 42 CFR Part 50, Subpart F, Responsibility of Applicants for Promoting Objectivity in Research for Which NIH Funding Is Sought, pertaining to investigators' actual or potential financial conflicts of interest.

7 REPORTING REQUIREMENTS

Note: *A failure to submit annual progress and fiscal reports on the scheduled due dates will result in a delay of continuation funding. Reports that become more than 90 days overdue may result in a recall of previous grant funding. Principal Investigators who have reports more than 30 days overdue are ineligible to submit new grant applications.*

Principal Investigators must report scientific progress and fiscal transactions for each funded grant on a yearly basis. The requested information is required for effective grant management by program staff and to meet specific reporting requirements of the California State Legislature. Each Special Research Program is also responsible for disseminating the outcomes of funded research to specific interested constituencies, as well as to the general public. Progress report abstracts may be used for website display and program publications, and, therefore, the abstracts must be understandable, in so far as possible, to the educated layperson and must reflect the substance of the progress achieved during the year.

Satisfactory reports for each grant must be submitted by the specified deadlines. The contents of required reports are outlined in section 7.1. Reports must be accepted by program staff before any pending funding for the award is transferred. For all awards using human or animal subjects, the program must receive copies of updated assurances when appropriate.

All reports must be sent to the designated RGPO program analyst or uploaded to proposalCENTRAL (as directed per the instructions received with your grant award). Failure to submit the required information or to submit reports by the dates indicated may result in recall, reduction, delay, or discontinuation of funding. Principal investigators with delinquent reports will not be eligible to apply for new awards.

Annual Report Due Dates		
Grant Start Date (as designated on Award Notice)	**Annual Progress Report Due Date***	**Annual Fiscal Report Due Date***
July	June 1	September 30
August	July 1	October 31
September	August 1	November 30
October	September 1	December 31
November	October 1	January 31
December	November 1	February 28
January	December 1	March 31
February	January 2	April 30
March	February 1	May 31
April	March 1	June 30
May	April 1	July 31
June	May 1	August 31

* Reports are due on the first business day on or following the due date.

Final Report Due Dates		
Grant End Date (as designated on Award Notice)	**Final Progress Report Due Date***	**Final Fiscal Report Due Date***
June 30	August 31	September 30
July 31	September 30	October 31
August 31	October 31	November 30
September 30	November 30	December 31
October 31	December 31	January 31
November 30	January 31	February 28
December 31	February 28	March 31
January 31	March 31	April 30
February 28	April 30	May 31
March 31	May 31	June 30
April 30	June 30	July 31
May 31	July 31	August 31

* Reports are due on the first business day on or following the due date.

7.1 Annual Progress Reports and Final Scientific Reports

Either an Annual Progress Report or a Final Scientific Report is required for each project year. No disbursement on continuation funds will be authorized unless a complete Progress Report has been submitted.

Newer grantees must upload their reports in a PDF format using the proposalCENTRAL system. Please include an original with signatures on Form 1. The required Annual Progress and Final Scientific Report forms are:

- Signature Page (Form 1)
- Abstract (Form 2)
- Summary of Scientific Progress (Form 3)
- Key Personnel Effort (Form 4)
- Other Support (Form 5)
- Publications (Form 6)
- Animal & Human Subject Usage (Form 7)
- Patents and Licenses (Form 8)

Forms are provided in Section 8 of this manual and are available on the program websites and in proposalCENTRAL (for new

awardees). Please follow the NIH guidelines for format: 1) the height of the letters must not be smaller than 10 points—Times New Roman, Helvetica or Arial 11- or 12-point are the suggested fonts; 2) type density, including characters and spaces, must be no more than 15 characters per inch (cpi); 3) no more than 6 lines of type within a vertical inch; and 4) page margins, in all directions, must be at least 0.5 inch.

When more than one page is used for a form, please number the continuation pages by using letters, e.g., 4A, 4B, etc. *If a required form is not applicable (e.g., Publication or Human/Animal Subjects), then please submit a copy of that form marked not applicable.*

7.1.1 Detailed Form Instructions

You must submit the report using the current forms in this manual. Use an appendix for manuscripts, preprints and publication copies supported by and acknowledging our support. For newer grantees who are on proposalCENTRAL (pC), all report forms must be uploaded to the pC system and should not be sent to RGPO by mail or other means. For grantees **who are not** on proposalCENTRAL, reports may be submitted to RGPO via mail or e-mail (in PDF format). Fax is acceptable, if arranged in advance with program staff. Acceptance of an Annual Progress Report is acknowledged by a notification confirming the release of continuation funding. Acceptance of a Final Scientific Report is acknowledged after the submission and acceptance of the Final Fiscal Report to close the grant.

7.1.1.1 Signature Page (Form 1)

This page must carry the original signatures of the Principal Investigator. Current addresses, telephone and fax numbers and e-mail addresses must also be entered. On collaborative projects, a separate signature page should be submitted for each Principal Investigator, if appropriate (CBCRP's CRC awards are conducted by co-PIs and a separate signature page from each co-PI's institution is required). Both the PI (or co-PI for CRCs) and the institution's Contracts and Grants official must certify that the statements in this report are true, complete and accurate to the best of my knowledge. This certification is consistent with the requirements for NIH/PHS Progress Report form 2590.

7.1.1.2 Abstract (Form 2)

Provide an abstract in lay language that is informative and covers the work accomplished using the specific funding provided by this grant. Do not use the same abstract text as in the original application or already posted on the program's website. Include the following information: 1) a brief overview of topic being studied; 2) the degree to which the stated project aims were successfully completed; 3) barriers that were overcome or not overcome; 4) a summary or list of the major accomplishments of the research project; and 5) plans for continuation of the project topic. Focus on the novel findings supported by this grant, and distinguish this funding from any other related funding to the PI or laboratory/research facility by other grants or agencies. Cut-and-paste abstracts from earlier reports or the application are not allowed. Do not use technical terms or acronyms without defining them.

The abstract will be used in program publications, and therefore the instructions for content and format should be carefully followed. New grantees are required to upload the abstract to proposalCENTRAL. Grantees not in pC should continue to e-mail their updated abstract to the appropriate RGPO program (CBCRP@ucop.edu, TRDRP@ucop.edu, CHRP@ucop.edu). A sample abstract format page is included.

Note: For Final Reports, please summarize the entire project period in the abstract.

7.1.1.3 Summary of Scientific Progress (Form 3)

The Summary of Scientific Progress is a detailed account of the progress that was made during the annual reporting period toward achievement of the specific aims of the investigation, including the rationale for any changes in the specific aims or objectives of the project and a discussion of experimental results.

Provide a detailed account of the progress that was made during the reporting period toward achievement of the specific aims of the investigation, including the rationale for any changes in the specific aims or objectives of the project and a discussion of experimental results. The summary must include:

1. The overall scientific goals of the research project in 1–3 sentences.
2. A list of each specific aim, followed by an account of progress made toward its accomplishments. Include a summary of experimental results, the obstacles overcome or not overcome and the degree to which each specific aim was successfully completed. Link the successful achievement of aims with any publications or meeting abstracts that include both the PI and an acknowledgement of this grant support.
3. A list of any aims that were discontinued and the reasons for this change.

4. New aims or novel findings in the research project that were not covered in the application or previous report. Explain these additions to the project.
5. The major research milestones achieved during the reporting period. Postdoctoral fellows, dissertation award recipients, and new investigators should also focus on new training accomplishments.
6. A list of next year's research goals (Annual Report) or future activities (Final Report) related to this research topic.

The text should focus on the research support provided by this grant and not include results obtained from funding by other grants or agencies. *Limit: 5 pages.*

Note: For Final Reports, please summarize the aims addressed and results for the entire project period.

Please note that this Progress Report description may not be appropriate for all award types. For example, CBCRP conference awards require different reporting requirements. Grantees will be advised of differing reporting requirements prior to funding of the award.

7.1.1.4 Key Personnel Effort (Form 4)

List all key personnel named in the application. Indicate the person months effort either approved when the grant was funded or during the previous reporting period. Then, under the new column, indicate changes during the current reporting period. Append biographical sketches for each new key personnel. For all key personnel describe any changes in role. The Principal Investigator must maintain at least the minimum percent effort as indicated in the table in Section 3.2. Completing the form by indicating no changes is not acceptable.

The RGPO uses the same definition of key personnel as NIH: Key personnel are defined as, and should be limited to, individuals who contribute in a substantive way to the scientific development or execution of the project, whether or not salaries are requested. Typically, these individuals have doctoral or other professional degrees, although individuals at the master's or baccalaureate level should be included if their involvement meets the definition of key personnel. Consultants should be included only when their level of involvement meets the definition. Individuals providing technical services are not considered key personnel. (PHS 398, Rev. 5/95)

7.1.1.5 Other Support (Form 5 or NIH format)

Updated Other Support form(s) should provide details on all grants, contracts and pending applications on which any key personnel of this grant are participants. For CBCRP awards only, Other Support must include non-research activities (teaching, clinical activities, etc.). *Form(s) must be completed for each of the key personnel, whether budgeted or not and whether there is other support or not.* The NIH Other Support format may be substituted for Form 5. Be sure to include Other Support forms for any new personnel indicated on the Key Personnel Effort form (see Form 4). Any scientific and budgetary overlap with the RGPO program award must be explained. Use as many pages as necessary, numbering the pages 5A, 5B, etc. For all active grants listed on each Other Support form, attach a copy of the Specific Aims page from that funded application; this will facilitate the program staff's efforts to clarify any concerns regarding funding overlap. The total time commitment on all other support for each **key personnel cannot exceed 100 percent or 12 months.**

7.1.1.6 Publications (Form 6)

List all publications or manuscripts in press (i.e., journal articles, abstracts, book chapters or abstract or title presentations at scientific meetings) that were supported by this grant and were completed during the budget year**.** Manuscripts that are in preparation or submitted for publication should not be included on this form. Citations should follow the American Medical Association Manual of Style format. Use additional pages if necessary; if more than one page is used, number the pages 6A, 6B, etc.

7.1.1.7 Human & Animal Subjects Usage (Form 7)

Current assurances for the use of human subjects and animal subjects for each award must be on file with the program. These assurances must indicate the Principal Investigator, project title and inclusive dates for which approval has been granted. Updated assurances may be submitted with the Annual Progress Report or they may be submitted separately as appropriate to ensure that a current assurance is on file with the program. If human and/or animal subjects are no longer part of the experimental design, the Principal Investigator must submit a letter verifying termination of the original protocols; the letter must be co-signed by the institutional contracts and grants official.

Failure to provide RGPO with required information about human or animal subject assurances can result in discontinuation of funding. Grants officials are also required to inform RGPO of any investigation or administrative action by NIH or by the institution involving human or animal subject use by PIs receiving RGPO funds (see Chapter 6).

If human subjects are involved in the study, provide the information requested regarding the Ethnicity by Gender of the study population in the sample to date. The Risk Categories table must be completed by CHRP award recipients only. Please explain in the space provided if any of the requested information is not available. Explain any discrepancies between the projected and actual number of subjects reported, and describe plans to address these discrepancies.

7.1.1.8 Patents and Licenses (Form 8)

Provide a list of all patents or licenses that have been applied for or issued, and formal invention disclosures, of any discovery that was developed, in whole or in part, with funds from this grant. *Do not submit confidential information.*

Indicate the name of the patent or license and the term for which the patent or license is in effect. UC investigators should also provide the UC Case Number, and investigators at other institutions should provide reference information such as internal case docket numbers together with other available information that has been made public, if any (e.g., other identifier numbers and date of the filing). Describe the invention and its potential importance. Also, please describe any effort to date or plan to commercialize the discovery.

Since the lag can be significant for revealing an invention to the public, PIs should submit information on inventions after the termination of the award that supported the development of the invention or technology if they have not previously done so.

7.2 Annual and Final Fiscal Reports

Approximately 30 days prior to the report due date, the RGPO program staff will email a preprinted Fiscal Report to the institutional accounting office. This report will show the Current Working Budget on file with the program as a reporting period for the report. Any changes to the Current Working Budget, either due to internal changes or due to approved change requests, should be reflected in the second column of the preprinted report Adjusted Working Budget. Expenditures during the report year only should be entered into the column headed Expenditures. Balances are calculated and recorded in the Balance column. Please round off all figures to the nearest dollar. Negative balances are not allowed in any budget category.

This report is an official accounting of expenditures and must be signed by an authorized fiscal officer of the institution. The officer's title, name, address, and phone number must be printed on the report. Revised Fiscal Reports may not be accepted more than 90 days after the original is received by RGPO.

As an official accounting of expenditures, the Annual Fiscal Report form should not be used to request changes in the approved budget. Such changes must be presented and explained on the Request to Change Approved Expenditures form (see Section 3.3). This form may be submitted at any time, but changes may not be implemented until written approval has been obtained from RGPO.

The grantee must obtain prior written approval from RGPO to carry forward unexpended funds when the unexpended balance exceeds 25 percent of the original annual direct-cost allocation (see Section 3.7). If an appropriate carry-forward or no-cost extension request has been filed and approved, the balance will be carried forward to the current fiscal year. Otherwise, any funds remaining in the balance column must be returned to RGPO within 90 days. Please note the method of return of funds in the Award Balance Disposition section of the form and attach a copy of the check (non-UC) or Interlocation of Transfer form (UC) to the Fiscal Report. All checks should be payable to the UC Regents and should be addressed to UC Regents-RGPO Attn: Program [TRDRP, CBCRP, or CHRP], 300 Lakeside Drive, 6th Floor #615, Oakland, CA 94612.

The Final Fiscal Report is due no later than 90 days after the award termination date (see due dates table in section 7). A preprinted Fiscal Report form will be emailed to the accounting office approximately 30 days prior to the due date. The Final Fiscal Report follows the Annual Fiscal Report format (see Section 7.1.2) and provides an official accounting of all final-year expenditures, even if 20 percent of the final year award will be paid in arrears (for non-UC institutions).

If the Final Fiscal Report shows a balance in excess of the amount to be paid in arrears, the difference must be returned to the program with the Fiscal Report, *checks payable to UC Regents*. If the Final Fiscal Report shows a balance that is less than or equal to the amount to be paid in arrears, the Fiscal Report will constitute an invoice for the difference to be paid to the recipient institution upon receipt and acceptance of all Final Reports. Negative balances are not allowed in any budget category.

This report is an official accounting of expenditures and must be signed by an authorized fiscal officer of the institution. The officer's title, name, address and phone number must be printed on the report.

7.3 Special SARA Reporting Requirements

For the TRDRP School-Academic Research Awards (SARAs), the school partner must also comply with all California Department of Education reporting requirements as outlined in the SARA application.

7.4 Special CHRP Reporting Requirements

The CHRP's Special Grant Programs may require additional special reports or modified formats that will be communicated to the grantees at the beginning of each award period.

For Community Collaborative, Prevention Evaluation (including all awards funded through the OA/CHRP interagency agreement) and Institutional Support Awards, the grantees form a consortium that meets at least three times a year with selected Task Force members and CHRP Program Officers to evaluate their research results and to exchange information, with the ultimate aim of developing effective AIDS research programs readily adaptable by relevant AIDS organizations in the state. PIs funded under these mechanisms are contractually required to participate in these consortia and attend these meetings. If a PI fails to attend at least two meetings per year, he or she will be ineligible to apply for additional funding from CHRP during the subsequent year. Travel to attend will be paid by CHRP.

For CHRP Community Collaborative Progress Reports, please provide the following additional descriptive information:

- Collaborative activities during the past year (these may include a description of collaborative decision-making and problem-solving, communication strategies and/or responses to challenges)
- Current status of community and research organizations (focus on areas that affect your projects such as staffing, training, technical support), including any significant changes in organizations during the past year
- Dissemination activities, if these are required for your project, including a description of dissemination materials that have been developed (such as training, intervention and/or research guides), presentations and/or outreach to other organizations

One combined Progress Report should be submitted for CHRP Collaborative Grants.

7.5 Special CBCRP CRC Reporting Requirements

For CBCRP Community Research Collaboration (CRC) Awards, please provide the following descriptive information:

- Collaborative activities during the past year, including a list of collaborative activities to plan, implement and disseminate research, as well as a description of collaborative decision-making and problem solving
- Involvement of broader community during the past year, including a list of community meetings or advisory committee meetings held, list of members present and other efforts utilized to involve community members outside of the collaboration team
- Dissemination activities, including a description of dissemination materials that have been developed (such as training, intervention and/or research guides), as well as presentation and/or other outreach activities geared toward informing the broader community about the research project or findings

Note: CRC Progress and Final Reports require a separate signature page from each co-PI's institution. The purpose of this requirement is to document that the co-PIs have been involved in the preparation of the report and take responsibility for its content. All signature pages should be part of the report when it is sent to the CBCRP.

7.6 Document Retention Policy

Award recipients are required to retain all grant records for three years from the date the program has accepted all Final Reports.

7.7 Overdue and Delinquent Reports

Reports not received by the due dates become overdue. Once a report is more than one month overdue it becomes delinquent and a 30-day warning letter is delivered to the PI(s) and Contracts and Grants official assigned to the grant. We encourage the PI(s) and Contracts and Grants officials to respond directly to any phone, e-mail or letter notifications of overdue/delinquent reports. Please let the SRP Program Officer know the reasons for the delay in submission, and provide an expected date of compliance. Once a report is more than two months overdue a 60-day warning letter is delivered. If a report is more than three months overdue without adequate response, then a final 90-day action letter will be sent. At this point the PI(s) and institution will risk recall of funds. In addition, PIs with delinquent reports risk rejection of future applications for funding. Finally, an institution having a grant with reports that are greater than three months overdue, that has not responded to a final 90-day action letter, will have all future grant disbursements from RGPO frozen. A violation of this policy on any RGPO grant award will also result in a funding recall and/or grant application disqualification for the Principal Investigator **and the applicant(s) institution** regarding all RGPO grant programs.

8 FORMS

Required reporting forms are found on the following pages. These forms are also a vailable in M S Word format via the respective program websites. For newer grantees, these forms are available on pC. For awards with start dates on or after January 1, 2011, reports are to be submitted online using the proposalCENTRAL system.

8.1 Annual Progress and Final Report Forms

- Signature Page (Form 1)
- Abstract (Form 2)
- Summary of Scientific Progress (Form 3)
- Key Personnel Effort (Form 4)
- Other Support (Form 5; use of corresponding NIH form is allowed)
- Publications (Form 6)
- Human and Animal Subjects Usage (Form 7)
- Patents and Licenses (Form 8)

8.2 Budget Request Forms

- Request to Change Approved Expenditures (see Section 3.3 for guidelines)
- Request to Carry Forward Unexpended Funds (see Section 3.7.1 for guidelines)
- Request for No-Cost Time Extension (see Section 3.7.2 for guidelines)

University of California Office of the President
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Progress or Final Report
SIGNATURE PAGE*
Form 1

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PROJECT PERIOD DATES from: _____ to: _____ *(Check one):* ☐ Annual Progress Report ☐ Final Report

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

ADDRESS: _____

TELEPHONE: _____ FAX: _____

E-MAIL: _____ WEBSITE: _____

PRINCIPAL INVESTIGATOR ASSURANCE: I certify that the statements in this report are true, complete**, and accurate to the best of my knowledge.

_____
Signature of PI Named Above *(In ink. "Per" signature not acceptable.)* Date

INSTITUTIONAL ASSURANCES: I certify that the statements in this report are true, complete**, and accurate to the best of my knowledge.

_____
Signature of Contracts and Grants Official *(In ink. "Per" signature not acceptable.)* Date

NAME/TITLE: _____

ADDRESS: _____

TELEPHONE: _____ FAX: _____

E-MAIL: _____

*For all Collaborative Grants, each PI must submit a separate copy of this page.

**A complete report includes Forms 1 thru 8, some with continuation pages and must be converted into PDF format. Both signatures must be present on this page. Enclose renewals of vertebrate animal and human subjects approval documents, if needed. Include additional text-only (.doc or .rtf) abstract file.

University of California Office of the President

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Progress or Final Report

ABSTRACT

Form 2

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)* ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

Provide an abstract in lay language that is informative and covers the work accomplished using the specific funding provided by this grant. Do not use the same abstract text as in the original application or already posted on the program's website. Include the following information: 1) a brief overview of topic being studied; 2) the degree to which the stated project aims were successfully completed; 3) barriers that were overcome or not overcome; 4) a summary or list of the major accomplishments of the research project; and 5) plans for continuation of the project topic. Focus on the novel findings supported by this grant, and distinguish this funding from any other related funding to the PI or laboratory/research facility by other grants or agencies. "Cut-and-paste" abstracts from earlier reports or the application are not allowed. Do not use technical terms or acronyms without defining them.

NOTE: Please also submit a text-only file of your abstract via e-mail to the appropriate program (cbcrp@ucop.edu, trdrp@ucop.edu or chrp@ucop.edu) using the format example shown on the next page. Include title of project, PI's name, degree and institution.

Abstract Formatting Sheet

(Please send all abstracts via e-mail as attached .doc or .rtf documents)

Place text in this order:

1. - Grant Number
2. - Abstract Title
3. - P.I. Name (Last, First + Initial)
4. - Institution Name
5. - Abstract body copy

1. Times/Times New Roman - 12pt.

2. Times/Times New Roman - 12pt./Bold

3. Times/Times New Roman - 10 pt.

4. Times/Times New Roman - 10 pt./Italic

1. #0000000
2. **Role of protein phosphatase 2A in lung cancer**
3. Walter, Gernot
4. *University of California at San Diego*

5. Smoking causes lung cancer th rough mutation of genes that are involved in controlling the g rowth of lung cells. Two classes of genes a re important in gr owth control: (1) Genes that stimulate growth (oncogenes), and (2) genes that inhibit growth (tumor suppressor genes). The former become activated by mutation whereas the latter becom e inactivated. In most cancers, including lung cancer, mutation of both types of genes contributes to the development of cancer.

For many years, our laboratory has investigated a type of protein that facilitates metabolic processes, i.e., an *enzyme*. In particular, we are interested in the en zyme known as protein phosphatase 2A (PP2A). PP2A controls the function of other proteins by removing phosphate residues from the amino acids serine and threonine. PP2A is composed of three different protein components (or *subunits*) that are called A, B, and C. One form of A subunit, called Ab, was recently found to be mutated or deleted in lung an d colon cancer cells, suggesting that Ab plays a role as tumor suppressor in lung and colon cancer. Our hypothesis is that m utations in th e Ab subunit destroy its tum or suppressing activity of protein phosphatase 2A by abolishing the interaction between Ab and the other two subunits B and C. To test this hypothesis, we will carry out bindin g experiments with normal and mutated Ab, B, and C subunits using assays that were previously developed in our laboratory.

Our work is relevant to lung cancer, in particular since it is highl y likely that sm oking causes mutations in the Ab subunit resulting in loss of the tum or suppressing function of PP2A. It is conceivable that, based on our proposed studies, drugs can be found that revert the effect of Ab mutations in lung and colon cancer; i.e., drugs th at bind to Ab m utant-containing core enzyme and exert the sam e effect on enzyme activity as the tum or suppressing B subunit. Si nce we are dealing with an enzyme, searching for drugs in a natural product or synthetic compound library is a worthwhile and realistic goal.

5. BODY TEXT
Times/Times New Roman - 10 pt./Justify
Single Line spaced text only
Add Single space between paragraphs

*Please do not number the sections of your abstract

University of California Office of the President

Research Grants Program Office

Progress or Final Report

SUMMARY OF SCIENTIFIC PROGRESS

Form 3

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

Has this project resulted in a patent or license? ☐No ☐Yes (If yes, complete Form 8.)

Provide a detailed account of the progress that was made during the reporting period toward achievement of the specific aims of the investigation, including the rationale for any changes in the specific aims or objectives of the project and a discussion of experimental results. The summary must include:

1. The overall scientific goals of the research project in 1–3 sentences.
2. A list of each specific aim, followed by an account of progress made toward its accomplishments. Include a summary of experimental results, the obstacles overcome or not overcome and the degree to which each specific aim was successfully completed. Link the successful achievement of aims with any publications or meeting abstracts that include both the PI and an acknowledgement of this grant support.
3. A list of any aims that were discontinued and the reasons for this change.
4. New aims or novel findings in the research project that were not covered in the application or previous report. Explain these additions to the project.
5. The major research milestones" achieved during the reporting period. Postdoctoral fellows, dissertation award recipients, and new investigators should also focus on "new training" accomplishments.
6. A list of next year's research goals (Annual Report) or future activities (Final Report) related to this research topic.

The text should focus on the research support provided by this grant and not include results obtained from funding by other grants or agencies. **Do not exceed 5 pages; number any additional pages as 3a, 3b, etc.**

(Collaborative Grants must submit one combined Progress Report.)

(See Section 7 for individual program reporting requirements.)

University of California Office of the President
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Progress or Final Report

KEY PERSONNEL EFFORT

Form 4

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

List all key personnel named in the application. In the "previous" column indicate the months devoted to the project either approved when the grant was funded or during the previous reporting period. Then, under the "new" column indicate changes during the current reporting period. Append biographical sketches for each new key personnel. For all key personnel describe any changes in role. The Principal Investigator must maintain at least the minimum effort as indicated in the table in Section 3.2. Completing the form by indicating "no changes" is not acceptable.

Follow the NIH Guidelines (http://grants.nih.gov/grants/policy/person_months_faqs.htm) and Calculation scheme (http://grants.nih.gov/grants/policy/person_months_conversion_chart.xls) for showing "months devoted" to project.

NAME, ROLE IN PROJECT	MONTHS DEVOTED TO PROJECT						DESCRIBE CHANGE IN ROLE (use additional page, if needed)	DATE OF CHANGE (mm/dd/yy)
	PREVIOUS			NEW				
	Calendar (12 mo)	Academic (9 mo)	Summer (3 mo)	Calendar (12 mo)	Academic (9 mo)	Summer (3 mo)		
Sample #1, PI	3.6			3.6			No changes	
Postdoc #1	12			0			Resigned position	3/1/07
Postdoc #2	0			6			Added to project, aim #2	3/1/07
Collaborator #1	0.6			0			Completed work	1/107

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OTHER SUPPORT

(Equivalent NIH form is acceptable)

Form 5

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

Provide the following information on all sources of support for research activities for all key personnel, using the format indicated here. Add continuation pages (5B, 5C, etc.), as needed. Total % FTE for any individual cannot exceed 12 person months.

NAME OF PI OR KEY PERSONNEL
ACTIVE AND PENDING GRANTS

GRANT NUMBER (PI NAME) DATES OF ACTIVE/PENDING GRANT SUPPORT PERCENT EFFORT
SOURCE ANNUALTOTAL COSTS (months devoted)
TITLE OF PROJECT (OR SUB-PROJECT)
THE MAJOR GOALS OF THIS PROJECT ARE…

OVERLAP ISSUES: (summarized for each individual)

Samples

(please delete this text and enter your own information before submitting)

Bowen, MF (PI)

ACTIVE

2 R01 HL 00000-13 (Bowen) 3/1/01 – 2/28/06 3.6 months
NIH/NHLBI $186,529
Chloride and Sodium Transport in Airway Epithelial Cells
The major goals of this project are to define the biochemistry of chloride and sodium transport in airway epithelial cells and clone the gene(s) involved in transport.
Overlap issues: none

CFF#99-011 (Bowen) 7/1/05 – 8/31/07 1.2 months
Cystic Fibrosis Foundation $43, 123
Gene Transfer of CFTR to the Airway Epithelium
The major goals of this project are to identify and isolate airway epithelium progenitor cells and express human CFTR in airway epithelial cells.
Overlap issues: Personnel overlap. This grant funds Peter Agron (postdoc) who was removed from this project.

PENDING

DCB 950000 (Bowen) 12/1/07 – 5/31/10 2.4 months
National Science Foundation $82,163
Liposome Membrane Composition and Function
The major goals of this project are to define biochemical properties of liposome membrane components and maximize liposome uptake into cells.
Overlap issues: This grant overlaps with aim #3 of the present grant. If funded, then the present SRP grant will be adjusted to focus only on aims #1 and 2.

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PUBLICATIONS

Form 6

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

List all publications and presentations within the reporting period that were supported by and acknowledge this award. Please use the *American Medical Association Manual of Style* format. All scientific publications resulting from research conducted with support from the Special Research Programs must acknowledge the receipt of such support. List all items "in press" but not those "in preparation" or "submitted." **Include reprints or copies of all publications**.

JOURNAL ARTICLES

CHAPTERS

MEETING ABSTRACTS (name of meeting, date, location, title, authors, abstract or page #)

OTHER PRESENTATIONS (organization, location, date, title of presentation)

University of California Office of the President

Research Grants Program Office

Progress or Final Report

HUMAN & ANIMAL SUBJECTS USAGE

Form 7

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

ANIMAL SUBJECTS: If applicable, attach an updated animal assurance approval that extends into the next project year or until the grant end date.

(Check one) ☐ No animal assurance required. ☐ Yes, grant involves animal use. (Enclose renewal document with this report.)

HUMAN SUBJECTS: If applicable, attach an updated IRB approval that extends into the next project year, or until the grant end date.

(Check one) ☐ No human subjects ☐ Exempt ☐Yes, grant involves human subjects. (Enclose renewal document with this report.)

Indicate the total projected and actual enrollment of human subjects by ethnicity and race. For CHRP grants only, indicate HIV exposure/risk category.

ETHNIC CATEGORY		Hispanic or Latino	Not Hispanic or Latino	Unknown or Not Reported	Total
NO. OF FEMALES	Projected				
	Actual				
NO. OF MALES	Projected				
	Actual				

RACIAL CATEGORIES		Native American/ Indian/Alaska Native	Asian	Native Hawaiian or Pacific Islander	Black or African American	White	More Than One Race	Unknown or Not Reported	Total
NO. OF FEMALES	Projected								
	Actual								
NO. OF MALES	Projected								
	Actual								

RISK CATE-GORIES	Men Sex With Men	Hetero-Sexual	Injecting Drug Use (IDU)	Men Sex With Men and IDU	Sex With ID User	Blood Products	Perinatal	Other (Specify)	Total
Projected									
Actual									

Explain any discrepancies between the projected and actual numbers reported, and describe plans to address these discrepancies (use additional pages as necessary).

University of California Office of the President

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PATENTS AND LICENSES

Form 8

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

Provide a list of all patents or licenses that have been applied for or issued, and formal invention disclosures, of any discovery that was developed, in whole or in part, with funds from this grant. *Do not submit confidential information.*

Indicate the name of the patent or license and the term for which the patent or license is in effect. UC investigators should also provide the UC Case Number, and investigators at other institutions should provide reference information such as internal case docket numbers together with other available information that has been made public, if any (e.g., other identifier numbers and date of the filing). Describe the invention and its potential importance. Also, please describe any effort to date or plan to commercialize the discovery.

University of California Office of the President
Research Grants Program Office

REQUEST TO CHANGE APPROVED EXPENDITURES

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

This form is to re-budget category allocations within a fiscal year. Do not submit unless amounts and percentages involved are greater than those shown in the Grants Administration Manual Section 3.3. Enter only the amounts to be transferred. **Total amounts of reduction and increase should be equal. Direct costs may <u>not</u> be used for increases in institutional F&A rate** (see section 3.1.1).

BUDGET CATEGORY	REDUCED BY	INCREASED BY
PERSONNEL	$	$
CONSULTANT/CONTRACTUAL	$	$
SUPPLIES & EXPENSES	$	$
EQUIPMENT	$	$
TRAVEL: PROGRAM MEETING	$	$
TRAVEL: PROJECT RELATED	$	$
TRAVEL: SCIENTIFIC MEETINGS	$	$
DIRECT COSTS	$	$
INDIRECT (F&A) COSTS	$	$
TOTAL COSTS	$	$

Briefly explain the proposed changes. Indicate whether these changes affect the specific aims of the project. If a category is reduced, explain how project goals can still be met. Use additional pages, if necessary.

_____

Signature of PI Named Above *(In ink. "Per" signature not acceptable.)* Date

_____

Signature of Contracts & Grants Official *(In ink. "Per" signature not acceptable.)* Name/Title Date

_____

Approval Signature of SRP Administrator Date

University of California Office of the President
Research Grants Program Office

REQUEST TO CARRY FORWARD UNEXPENDED FUNDS

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

This form is to request a carry-forward into the next project year when the total unexpended balance exceeds 25% of the original annual direct cost allocation or $75,000. Note: As a rule, the subsequent year's disbursement will be postponed if the carry-forward amount is greater than 50% of the current year's disbursement and greater than $75,000 (see Section 3.7.1).

BUDGET CATEGORY	**CURRENT WORKING BUDGET** (includes annual award, any previous carry forward, and changes to approved expenditures)	**ESTIMATED EXPENDITURES**	**CARRY FORWARD INTO NEXT PROJECT PERIOD**
PERSONNEL	$	$	$
CONSULTANT/CONTRACTUAL	$	$	$
SUPPLIES & EXPENSES	$	$	$
EQUIPMENT	$	$	$
TRAVEL: PROGRAM MEETING	$	$	$
TRAVEL: PROJECT RELATED	$	$	$
TRAVEL: SCIENTIFIC MEETINGS	$	$	$
DIRECT COSTS	$	$	$
INDIRECT (F&A) COSTS	$	$	$
TOTAL COSTS	$	$	$

Explain why all the funds were not expended during the current budget year. Why is it necessary for the achievement of the research aims that the unexpended balance be carried forward? Use additional pages if necessary.

_____

Signature of PI Named Above *(In ink. "Per" signature not acceptable.)* Date

_____

Signature of Contracts & Grants Official *(In ink. "Per" signature not acceptable.)* Name/Title Date

_____

Approval Signature of SRP Administrator Date

University of California Office of the President
Research Grants Program Office

REQUEST FOR NO-COST TIME EXTENSION

(Check one) ☐ Breast Cancer Research ☐ Tobacco-Related Disease Research ☐ California HIV/AIDS Research

AWARD NUMBER: _____ PROJECT YEAR *(Check one)*: ☐1st ☐2nd ☐3rd ☐Final

PRINCIPAL INVESTIGATOR(S): _____

PROJECT TITLE: _____

INSTITUTION: _____

DURATION OF EXTENSION: ☐3 Months *(no annual report required)* ☐6 Months ☐12 Months Original Termination Date: _____

Use this form to request the extension of a project beyond the normal closing date. This request must be received no later than 30 days prior to the end of the final year of the award. Submit this form with an Annual Progress Report except for extensions of less than 3 months or grants that were awarded with an 18 month duration (see Section 3.7.2). **Direct costs may not be used for increases in institutional indirect cost rates (see Section 3.1.1).**

BUDGET CATEGORY	**CURRENT WORKING BUDGET** (includes annual award, any previous carry forward, and changes to approved expenditures)	**ESTIMATED EXPENDITURES**	**CARRY FORWARD INTO EXTENSION PERIOD**
PERSONNEL	$	$	$
CONSULTANT/CONTRACTUAL	$	$	$
SUPPLIES & EXPENSES	$	$	$
EQUIPMENT	$	$	$
TRAVEL: PROGRAM MEETING	$	$	$
TRAVEL: PROJECT RELATED	$	$	$
TRAVEL: SCIENTIFIC MEETINGS	$	$	$
DIRECT COSTS	$	$	$
INDIRECT (F&A) COSTS	$	$	$
TOTAL COSTS	$	$	$

Explain why all the funds were not expended during the final budget year. Explain the need to extend the project beyond the normal termination date. Use additional pages if necessary.

_____

Signature of PI Named Above *(In ink. "Per" signature not acceptable.)* Date

_____

Signature of Contracts & Grants Official *(In ink. "Per" signature not acceptable.)* Name/Title Date

_____

Approval Signature of SRP Administrator Date