2021-2022 GRANT ADMINISTRATION MANUAL

Effective October 1, 2021
PREFACE

This is the 2021-22 edition of the University of California Office of the President (UCOP) Research Grants Program Office (RGPO) Grant Administration Manual for Statewide Research Programs (SRP) and UC Research Initiatives (UCRI). The SRP are composed of the California Breast Cancer Research Program (CBCRP), the Tobacco-Related Disease Research Program (TRDRP), the California HIV/AIDS Research Program (CHRP), and other research grant programs for which institutions statewide are eligible. UC Research Initiatives includes UC Cancer Research Coordinating Committee (CRCC), UC National Laboratory Fees Research Program (LFRP), UC Multi-Campus Research Programs and Initiatives (MRPI), and other research grant programs for which UC campuses and UC-affiliated institutions only are eligible. This manual supersedes all previous program-specific editions. The guidelines and procedures set forth in this manual apply to all active RGPO grants. The effective date for this manual, including any changes from previous editions, is October 1, 2021.

All Principal Investigators, program directors and organizational officials with grant management responsibilities are urged to read this edition carefully and to refer to relevant sections for answers to questions that arise concerning the administration of RGPO grants. Applicant Grantee may be required to document compliance with any and all provisions set forth in this manual. The Contracts and Grants (C&G) offices, the accounting offices, and the Principal Investigators will be notified by email when revised editions of this manual are released. In special circumstances, some new policies and procedures may become effective immediately and will be communicated by letter and/or email. 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. Effective January 28, 2021, all active grants are now administered on the SmartSimple online grants management system at https://ucop.smartsimple.com. All previous pdf forms are no longer permissible on this system.

By acceptance of any RGPO award, the grantee agrees to comply with the guidelines and procedures set forth in this manual and in future applicable editions.

1 PROCEDURES FOR NOTIFICATION AND FUNDING OF AWARDEES

The UCOP Research Grants Program Office awards grants to University of California (UC) campuses and affiliated national laboratories, and to other California institutions. Principal Investigators for SRP grant awards must be California-based. In accordance with UC policy, investigators who are UC employees AND who receive any part of their salary through UC must submit grant proposals through their UC campus contracts and grants office (“Policy on the Requirement to Submit Proposals and to Receive Awards for Grants and Contracts through the University,” Office of the President, December 15, 1994). Exceptions must be approved by the UC campus where the investigator is employed, with appropriate documentation provided to RGPO. After funding decisions have been made, all new applicants will be notified electronically using the SmartSimple 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 the Award Notice 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. Availability of funds is contingent on available funding and receipt of sufficient allocations to the programs. For state-funded programs,
funding is contingent upon the governor’s approval of the State of California budget. An Award Notice is issued electronically using the SmartSimple online 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. In addition, it will also incorporate the Grants Administration Manual, other applicable RGPO regulations by reference, and specifies any special terms and conditions of the Award. Any recommendations from the peer reviewers that result in changes or contingencies will also be reflected in the Award Notice.

For CHRP awards only: All applicants recommended for funding will receive from the SmartSimple online grants management system an email notification from CHRP informing them of the recommendation. When CHRP receives its fiscal year allocation following approval of the state budget, the final budget for each award may be revised in accordance with available funding, the reviewers’ recommendations and CHRP funding policies. An Award Notice will then be released to the applicant from the SmartSimple online grants management system. 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 RGPO, the submission of all Progress and Fiscal Reports for existing awards must be up to date prior to the release of new funding. If a Progress Report or Fiscal Report is more than one month overdue, RGPO reserves the right to withhold funding of a new award until all previous reports are submitted and accepted by the respective program.

All applications recommended for funding are reviewed for compliance with required human subjects, animal subjects, and/or toxic substances review and approval, study population justifications, and potential supplanting and/or overlapping support from other funding sources. Please note that existing funds for a project and its activities may not be displaced by RGPO funds and reallocated for other organizational expenses. Any issues that may arise are negotiated and resolved between the assigned RGPO Program Officer and the grantee. 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.

Principal Investigators utilizing controlled substances for research must obtain a Controlled Substance Registration Certificate (DEA Registration Certificate) issued by the U.S. Department of Justice, Drug Enforcement Administration prior to conducting any project activities which require purchasing, storing and using controlled substances. The PI agrees that no work with controlled substances will be performed as part of this award contract until the required DEA Registration Certificate Approval for the project study is in place, if applicable. Where this certificate is required, RGPO reserves the right to recall all funds awarded and released for this award if the DEA Registration Certificate is not obtained by the start date for this award. Conducting any research using controlled substances without the required DEA Registration Certification is not allowed and will result in immediate suspension of this award and recall of funds.

1.3 Payment

1.3.1 Institutions Other Than University of California Campuses

Before an award will be made to a prospective grant recipient, 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 RGPO. Prospective grant recipients may meet these requirements directly or by making arrangements with another research organization that can meet these requirements.

1.3.1.1. UCRI Contracts with National Labs

Upon resolution of all administrative issues, RGPO will prepare a contract agreement between the recipient institution and the University of California.

1.3.1.2. SRP Contracts with Institutions other than University of California Campuses

When the requirements described in section 1.3.1 have been satisfied, and upon resolution of all administrative issues, RGPO will prepare a contract agreement between the recipient institution and the University of California. This contract constitutes the framework for administration of RGPO awards and incorporates by reference the original application, any addenda to the application, the Award Notice, and the current edition of this manual, which is supplied to the PI, C&G officials, and institutional signing officials as a link: http://www.ucop.edu/research-grants-program/grant-administration/index.html. As soon as UCOP has executed the contract, it will be uploaded to the SmartSimple online grants management system. The institutional signing official at the grantee organization will provide an electronic signature and upload the contract as a PDF.

Upon receipt of the fully executed contract and resolution of all administrative and research compliance issues, RGPO will release funding. The institutional official and the PI are then notified that funding is being released, and the Award Notice will be posted to the SmartSimple online grants management system.

Payment 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 increments, annually, or as a lump sum as determined by the RGPO program. Please see section 1.4.1 Multi-year Advance Payment Disbursements for more information about RGPO requirements regarding lump-sum distributions.

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, unless otherwise specified within the new policy. The Contracts and Grants office, the accounting office, and the PI will receive notice of updates to policies as they are released online.

1.3.2 University of California Campuses

Upon resolution of all budgetary and scope of work issues, RGPO will post the Award Notice to the SmartSimple online grants management system. The signing official for the recipient campus, the PI, the Contracts and Grants offices, and the accounting office (deemed as the institutional contacts), or the institutional contacts will have access to the Award Notice located in the grant file of the SmartSimple online grant management system. The Award Notice states the amount of the award, the number of years of approved funding and any conditions on the award. Any recommendations by the peer reviewers that result in changes or contingencies are reflected in the Award Notice.

Once any pending administrative or research compliance issues have been resolved RGPO will initiate payment by executing an interlocation transfer of funds in the approved 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 can retrieve updated editions of the Grant Administration Manual from the SmartSimple online grants management system under the Deliverables section “Useful Documents and Instructions.”
1.3.3 Proposition 56 (Prop 56)

For grants funded by the California Healthcare, Research and Prevention Tobacco Tax Act of 2016, project research activities are geographically restricted and must take place within the State of California. Any expenses accrued for research activities outside the State of California will be disallowed and will not be subject to reimbursement. Travel outside of California to conferences for the purposes of disseminating research findings and/or outreach with colleagues while ancillary to the research itself, is important and allowable with Prop 56 funds.

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, if lack of appropriate research progress is evident, or if the award is terminated prior to its originally approved end-date.

The Award Notice provided to the PI and institution will indicate the start and end dates of the project, as well as the approved budget allocations for each year. Unless otherwise specified by the RGPO program, a single Award Notice is issued at the beginning of the grant period, and remains in effect until either the award termination, or until an Amended Award Notice is issued. 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 the Facilities and Administrative (F&A) rate occur.

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 contract. 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 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. Please refer to Chapter 7 for additional details.

Each RGPO program sets the start date for specific award mechanisms, and the Award Start Date is typically published in the program Request for Proposals (RFP) or Call for Applications. Requests to modify or delay the published award start date are dependent on Program-specific rules, and applicants and grantees should refer to the RFP or direct questions to their RGPO Program Officer if such modifications are requested.

Approval for encumbrance 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 advanced to the grantee organization) will only be provided to grantees whose Progress and Fiscal Reports are up to date.

University of California award recipients will be authorized to spend the full amount in each year of funding; however, RGPO 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.

1.4.1 Multi-year Advance Payment Disbursements

Advance payment may be made of the approved multiyear budget in the Award Notice, providing that sufficient organizational controls are in place at the grantee organization. Consistent with the terms of the contract, the grantee institution may be required to refund interest accrued on advanced funds at the termination of the award, or at the discretion of RGPO (as outlined in Section 1.4.2.).

When payment for multi-year awards is released in advance, the grantee is not allowed to encumber future-year funds beyond until the annual progress report for each award year has been approved by RGPO. RGPO reserves the right to delay or recall any and all funds that are not expended in a manner consistent with the rules set forth herein.
1.4.2 Return of Interest

When required by the contract, non-UC institutions must maintain advance payments for each RGPO grant award(s) in an interest-bearing account, unless the following apply:

• The non-UC institution receives less than $50,000 per year for the RGPO award
• The depository would require an average or minimum balance so high that it would not be feasible

Interest must be returned to RGPO within 90 days of the award termination, or at the discretion of RGPO. If required interest income is not returned, an action notice will be sent to the grantee institution and all future grant disbursements to the institution from RGPO will be frozen until the earned interest is received.

Non-UC recipients are expected to collect and maintain documentation related to the interest rate earned on RGPO grant funds for the duration of the award. This documentation must be provided as part of the annual and final fiscal report submissions.

1.5 General Data Protection Regulation (GDPR)

The General Data Protection Regulation (GDPR) is a data privacy regulation. It applies to the processing of personal data related to:

• Organizations operating within the EU, even if the data processing takes place outside of the EU
• The offering of goods and services to individuals in the EU
• The monitoring of behavior of individuals in the EU

For more information, please refer to the University of California GDPR fact sheet: https://ucnet.universityofcalifornia.edu/news/2018/05/notice-on-general-data-protection-regulation.html.

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 (http://www.ucop.edu/research-grants-program/grant-administration/index.html), unless otherwise specified. The Contracts and Grants office, the accounting office, and the PI will receive notice of updates to policies as they are released online 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.

<table>
<thead>
<tr>
<th>Program</th>
<th>Telephone</th>
<th>Email</th>
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<tbody>
<tr>
<td>CBCRP</td>
<td>(888) 313-BCRP or (510) 987-9884</td>
<td><a href="mailto:cbcrp@ucop.edu">cbcrp@ucop.edu</a></td>
</tr>
<tr>
<td>CHRP and UC Valley Fever Funding Opportunity</td>
<td>(510) 987-9855</td>
<td><a href="mailto:chrp@ucop.edu">chrp@ucop.edu</a></td>
</tr>
<tr>
<td>TRDRP</td>
<td>(510) 987-9870</td>
<td><a href="mailto:trdrp@ucop.edu">trdrp@ucop.edu</a></td>
</tr>
<tr>
<td>UCRI Programs (CRCC, LFRP, MRPI, Catalyst Awards)</td>
<td>(510) 987-9386</td>
<td><a href="mailto:ucri@ucop.edu">ucri@ucop.edu</a></td>
</tr>
<tr>
<td>Other RGPO grants not specified herein</td>
<td>(510) 987-9386</td>
<td><a href="mailto:rgpogrants@ucop.edu">rgpogrants@ucop.edu</a></td>
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</table>
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. 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 by 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 pre-approved according to the guidelines in section 3.

2.2.1 Travel

2.2.1.1 RGPO Grantee Meetings

The approved budget for travel to any RGPO Grantee Meetings cannot be used for other purposes unless: (1) the investigator or a representative attended the meeting and has funds left over in this category; (2) no meeting was held (for CBCRP, funds will automatically be carried forward); or (3) written pre-approval is obtained in writing by the grantee prior to expenditure of those funds for another purpose. Retroactive approval, or approvals not obtained in writing from the program, will not be allowed.

2.2.1.2 Academic Conferences and Scientific Meetings

Funds to defray the cost of domestic and international travel may be allowed if required to present research or fulfill grant requirements, and if allowable within program rules and for the specific fund source.

2.2.1.3 Project-Related Travel

Funds to defray the cost of project-related domestic and international travel may be allowed if adequately justified, consistent with program rules and fund source restrictions. Expenses in this category must be necessary for completion of the project, such as travel to survey sites to collect data, travel to institutions to analyze samples, perform experiments, collaborate with research partners or advisors, present or disseminate research findings, or receive training to complete required research activities or the training fellowship.

2.2.1.4 AB 1887 Travel Prohibition to Certain States Using State Funding Source

Effective January 1, 2017, AB 1887 restricts the use of State General Funds to pay for travel costs to states that have laws that discriminate based on sexual orientation, gender identity, and gender expression, or to states that have passed a law repealing such protections. The Attorney General maintains a listing of states impacted by this legislation, as well as exceptions: https://oag.ca.gov/ab1887.

2.2.2 Equipment and Residual Supplies

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 only with advance written approval.

2.2.2.1 Equipment

Equipment is defined as tangible personal property (including information technology systems) having a useful life of more than one year and a per-unit acquisition cost which equals or exceeds the lesser of the capitalization level established by the recipient institution for financial statement purposes or $5,000.

When original or replacement equipment acquired under an RGPO award is no longer needed for the original project or program or for other activities currently or previously supported by the awarding RGPO program, the recipient institution must request disposition instructions from RGPO regarding the equipment. Upon receipt of the disposition request, RGPO reserves the right to transfer title for this equipment to The UC Regents or to a third
party, or elect to allow title for the equipment to reside with the recipient institution. As part of the disposition request, recipients are encouraged to explore opportunities for use of the equipment for other related purposes within the recipient institution, and include information regarding the proposed repurposing of the equipment with the disposition request.

If RGPO elects to retain or transfer title of the equipment to a third party, the reasonable cost of mailing and/or shipping return of the equipment will be paid by RGPO.

2.2.2.2 Residual Supplies

Supplies are defined as all tangible personal property other than property defined as “equipment” pursuant to the Federal Uniform Administrative Requirements. If the recipient institution has unused supplies exceeding $5,000 (current market value) at the end of the grant award period, and these supplies are no longer needed for the original project or program or for other activities currently or previously supported by the awarding RGPO program, the recipient institution must present an inventory and disposition request regarding the unused supplies to RGPO. This inventory and disposition request must be submitted no later than 90 days after the end date for the grant award.

Upon review of the residual supplies inventory list and disposition request, RGPO reserves the right to transfer the unused supplies to The UC Regents or to a third party, or elect to allow the unused supplies to be allocated to the recipient institution. As part of the disposition request, grantees are encouraged to explore opportunities for use of the supplies for other related purposes within the recipient institution, and include information regarding the proposed repurposing of the supplies with the disposition request.

If RGPO elects to retain or transfer the supplies to a third party, the reasonable cost of mailing and/or shipping return of the supplies will be paid by RGPO.

2.2.3 Pooled Expenses

Pooled expenses such as insurance surcharges, system wide networking surcharges, and other pooled training and facilities expenses are allowable as direct costs in cases where the grantee can certify that expenses meet the federal cost principles as defined in the OMB Uniform Guidance (allowability, reasonableness, allocability, and consistency). In order for an expense to be budgeted as a direct cost, the cost must be:

1. **Allowable**: The cost must be allowable under the terms and conditions of the sponsored award, under applicable sponsor regulations (§200.403) and under institution policies.

2. **Reasonable**: The cost may be considered reasonable if the nature of the goods or services acquired, and the amount involved therefore, reflect the action that a prudent person would have taken under the circumstances prevailing at the time the decision to incur the cost was made (§200.404).

3. **Allocable**: The cost must benefit the project and be directly attributable to the project or activity being performed. The cost can only be assigned and allocated to the project(s) based on that portion of the expense that represents the direct benefit to the project (§200.404).

4. **Consistent**: Costs incurred for the same purpose in like circumstances must be treated consistently as disclosed to the institution’s cognizant agency (§200.400(e) and §200.401(b)).

Indirect costs may be applied to pooled expenses.

2.2.4 Monitoring and Payment of Subcontractors

It is the grantee’s responsibility to monitor the performance of all subcontractors receiving funds from an RGPO grant award. Monitoring may include reviewing the subcontractor’s financial and programmatic reports and, when appropriate, evaluating the subcontractor’s completed milestones and deliverables. Grantees should thoughtfully review the subcontractor’s performance in these areas before signing any invoice authorizing payment of funds to a subcontractor.

Grant recipients must pay subcontractor invoices (for cost reimbursable subawards) within 60 days of receipt of the subcontractor’s invoice unless the recipient believes the invoice is improper, or if different terms were negotiated in the subcontract agreement.
RGPO will require verification of all subcontractor indirect costing rates prior to the approval of the award budget.

### 2.2.5 Cost Share

Cost sharing or institutional contributions to the research may only be considered as part of the merit review for an award when the cost-share requirements are specified in the Request for Proposals for a particular RGPO funding opportunity. In such cases, cost-sharing may be designated as voluntary or mandatory, and its consideration, if any, in the merit review must be specified in the RFP. Applicable rules related to the cost sharing or institutional contributions will be specified in the RFP and application materials for the specific funding opportunity.

### 2.2.6 Fraud or Misuse of Funds

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

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<thead>
<tr>
<th>Program</th>
<th>Director</th>
<th>Telephone</th>
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<tbody>
<tr>
<td>CBCRP</td>
<td>Dr. Marion Kavanaugh-Lynch</td>
<td>(510) 987-9878</td>
</tr>
<tr>
<td>CHRP</td>
<td>Dr. Bart Aoki</td>
<td>(510) 987-9971</td>
</tr>
<tr>
<td>TRDRP</td>
<td>Dr. Tracy Richmond McKnight</td>
<td>(510) 987-9811</td>
</tr>
<tr>
<td>UCRP</td>
<td>Dr. Kathleen Erwin</td>
<td>(510) 987-9889</td>
</tr>
<tr>
<td>UC Auditor</td>
<td><a href="http://www.ucop.edu/audit">www.ucop.edu/audit</a></td>
<td>(510) 987-0482</td>
</tr>
<tr>
<td>All other non-specified RGPO grants</td>
<td>Dr. Bart Aoki</td>
<td>(510) 987-9537</td>
</tr>
</tbody>
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### 2.2.7 Family and Medical Leave with Pay

All RGPO programs defer to the existing policy of the grantee institution(s) with regard to Family and Medical Leave with Pay.

### 2.3 Grant Monitoring Site Visits

To fulfill our fiduciary role with regard to the stewardship of State of California funds, RGPO has developed a targeted process for review of grant funded projects involving the use of state funds. This active monitoring is accomplished through review of reports and correspondence from the recipient, audit reports, site visits, and other information available to RGPO. Periodic targeted site visits may be made for active awards and up to three years following award close-out, as needed. In most cases the grantee will be given at least seven days’ notice of the intention to conduct a site visit. During the site visit RGPO may conduct a review of the project and/or the financial management of expenditures related the project in accordance with the audit standards set forth in California Revenue and Taxation Code section 30130.56, subdivisions (a) and (b) and Revenue and Taxation Code section 30130.57(b).

### 3 CHANGES DURING THE AWARD PERIOD

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

#### 3.1 Direct Cost Base for Determining Indirect Cost Allocations for Applicable RGPO Awards

For RGPO research awards that allow indirect cost recovery charged to the award, RGPO has adopted the standard definition of Modified Total Direct Costs (MTDC) found in 2 CFR 200 (Uniform Guidance) as its direct cost base when calculating indirect cost recovery, unless otherwise specifically noted in the RFP or Award Notice.
MTDC is defined at 2 CFR 200.68:

MTDC means all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel, and up to the first $25,000 of each subaward (regardless of the period of performance of the subawards under the award). MTDC excludes equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of $25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

Institutions with federally negotiated rates set to a different direct cost base, such as a salary and wage base, should apply indirect expense in the same way to RGPO awards. Any questions about interpretation of the base can be directed to the RGPO Contracts and Grants Analyst assigned to your grant.

If a grantee or subcontractor does not have a federally negotiated F&A rate at the time of the proposal submission, the grantee and/or subcontractor may estimate what the federally negotiated rate will be at the time of award and include this rate in the proposed budget, or may request a “De Minimis” F&A rate of 10% MTDC. A higher indirect rate that has been accepted for a state or local government contract or other California grantmaker contract may be approved at the discretion of the applicable RGPO Director and the RGPO Executive Director.

3.1.1 Allowable Indirect Cost Recovery for Primary Grantees

The primary (named) grantee can recover indirect costs on RGPO grant awards as follows:

- For NEW awards to UC Campuses made by the Statewide Research Programs on or after January 1, 2020, grantees are permitted to recover 30% of the Modified Total Direct Costs (MTDC).
  1) For projects conducted off-campus, in accordance with UC Campus F&A Rate Agreements, grantees should use the Off-campus Organized Research rate, which is 26% MTDC.
  2) Indirect expenses on awards to UC Campuses made prior to January 1, 2020, will be capped at 25% MTDC.

- For awards to UC Campuses made by the UC National Laboratory Fees Research Program (LFRP), grantees are permitted to recover full federally approved indirect cost recovery of the Modified Total Direct Costs (MTDC).

- For awards to UC Campuses made by other RGPO Programs not specified above, indirect cost recovery allowance will be specified in the funding opportunity RFP or Award Notice. Contact the assigned RGPO Program Officer for additional information.

- For awards to Non-UC Institutions, the following indirect costing rules apply:
  1) Unless otherwise specified by the RFP or Call for Applications, CBCRP and TRDRP and the UC LFRP collaborative research awards allow indirect cost recovery utilizing the MTDC base at the applicable federally approved F&A rate for the Non-UC Institution. (The rate approved by a federal cognizant agency must be used if available).
  2) In the absence of a federally negotiated rate agreement, an equivalently documented F&A rate for the institution may be used (upon approval of RGPO). If no previously-approved F&A rate is available, the de minimis rate will be applied.
  3) For CHRP, the maximum allowable rate for F&A cost recovery is 30% of the MTDC as set forth above for new awards beginning in 2020 or thereafter. However, if the negotiated rate is lower than the 30% cap, the federally negotiated rate would apply.

- MRPI, CRCC, some RGPO-managed UC special initiatives, and the SRP Training Awards (e.g., Predoctoral and Postdoctoral Fellowship Awards effective January 1, 2018 or later) do not provide indirect cost recovery to either UC campuses or non-UC institutions.

- The LFRP UC-NL Graduate Student In-Residence Fellowship provides the home UC campus of the trainee indirect cost recovery of 8% on a total direct cost base.
3.1.2 Allowable Indirect Cost Recovery for Award Subcontracts

Subcontractors to RGPO Awards can recover indirect costs as follows:

- For subcontracts to UC Campuses, a cap of no more than 30% MTDC is allowable on subcontracts related to RGPO awards, as set forth above and unless otherwise specified in the grant application instructions (e.g. Lab Fees awards). Off-campus subcontracts are capped at 26% MTDC.
- For UC Multiple Campus Awards (MCAs), or awards made by one UC Campus to another UC Campus, indirect cost is not recovered on the first $25,000 of the award, as these awards are being made within the University of California, which is constituted as one legal entity.
- For subcontracts to Non-UC Institutions the following indirect costing rules apply:
  1) CBCRP, TRDRP, and the LFRP collaborative research awards programs allow subcontractor F&A cost recovery utilizing the MTDC base, at the appropriate federally approved F&A rate for the Non-UC Institution. (An approved federally-negotiated rate must be used if available). In the absence of a federally negotiated rate agreement, an equivalently documented F&A rate for the institution may be used (upon approval of RGPO). In the absence of an equivalently documented rate, the 10% de minimis rate may be used.
  2) For CHRP, the maximum allowable recovery rate for F&A subcontract cost recovery is 30% of the MTDC as set forth above. However, if the negotiated rate is lower than the 30% cap, the federally negotiated rate would apply.
  3) The amount of the subcontracted partner’s indirect costs may be added to any award type that has a direct cost cap (unless otherwise specified in the grant application). With these awards, the total costs of the grant to the recipient institution may exceed the direct cost cap of the award type by the amount of the total indirect costs (prime + subcontract).

- For subcontracts on UC-managed National Lab awards (LBNL, LANL, LLNL), please refer to the rules provided in the specific funding opportunity or grant program, as rules may differ depending on the award type.

3.1.3 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 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.

3.1.4 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.

3.1.5 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.
3.2 Other Support and PI/Key Personnel Percent Effort

Overlapping support for the project is generally disallowed. If duplicate applications are approved for funding by both a program within RGPO and another agency, funding from only one source may be accepted; some programs may allow negotiated partial awards, at their discretion. In the event that any key personnel named in an RGPO research project receives other support for research that duplicates any portion of the research funded by an RGPO award or that increases any key personnel’s total percent effort above 100%, 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%. 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: For the Statewide Research programs, 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 funded by the project for each RGPO grant must be established when the grant is initiated and updated with each Annual Progress or Final Progress Report. If the PI’s effort changes by more than 25% or falls outside the specific program-required effort 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. Please refer to the specific RGPO program or funding opportunity RFP for information on PI effort requirements for each award type. The minimum PI effort for each SRP award type is shown in the following table.

<table>
<thead>
<tr>
<th>SRP Grant Type – PI and Key Personnel minimum effort</th>
<th>CBCRP</th>
<th>TRDRP</th>
<th>CHRP</th>
</tr>
</thead>
<tbody>
<tr>
<td>CA STAR (SA)</td>
<td>--</td>
<td>25%</td>
<td>--</td>
</tr>
<tr>
<td>Cornelius Hopper Diversity Supplement</td>
<td>--</td>
<td>No minimum</td>
<td>--</td>
</tr>
<tr>
<td>CRC (CBCRP) or Community Practice-based Research Planning (CP)</td>
<td>10%</td>
<td>No minimum</td>
<td>--</td>
</tr>
<tr>
<td>High Impact Research (IP and IR)</td>
<td>--</td>
<td>10%</td>
<td>--</td>
</tr>
<tr>
<td>IDEA or Exploratory/Developmental and Discovery Research</td>
<td>5%</td>
<td>No minimum</td>
<td>10%</td>
</tr>
<tr>
<td>Institutional Award</td>
<td>--</td>
<td>--</td>
<td>10%</td>
</tr>
<tr>
<td>Mackay CA-Pacific Rim Tobacco Policy Scholar Award (MT)</td>
<td>--</td>
<td>35%</td>
<td>--</td>
</tr>
<tr>
<td>Postdoctoral and Predoctoral fellowships</td>
<td>--</td>
<td>75%</td>
<td>--</td>
</tr>
<tr>
<td>Research project</td>
<td>--</td>
<td>No minimum</td>
<td>--</td>
</tr>
<tr>
<td>Scientific Conference Award (CX)</td>
<td>--</td>
<td>No minimum</td>
<td>--</td>
</tr>
<tr>
<td>Special Projects (ST)</td>
<td>--</td>
<td>No minimum</td>
<td>--</td>
</tr>
<tr>
<td>Translational Research (OB)</td>
<td>10%</td>
<td>--</td>
<td>--</td>
</tr>
</tbody>
</table>
3.3 Budget Change Request

*Note: Budget change requests are only required for new equipment purchases that exceed an increase of $5,000 AND 25% for the equipment budget category for that budget year; or added travel expenses of over $5,000 for that budget year.*

Grant recipients may wish to expend funds differently from the approved working budget. However, only budget category increases in Equipment and/or Travel above the threshold require submission of the Annual Fiscal Forecast (if due) and/or may be initiated by the assigned C&G Analyst at the grantees request and may be submitted at any time with a justification of the need for the budget changes, and approval from the assigned Program Officer. Changes that violate the basic conditions, allowable costs, or eligibility requirements of the award are not permitted.

Requests for these Equipment and Travel budget changes must be submitted to the program for pre-approval via the Annual Fiscal Forecast (if due) within the SmartSimple online grants management system and/or may be initiated by the assigned C&G Analyst at the grantees request and may be submitted at any time. The budget change requests require 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 reviewed and approved research aims; and (3) an explanation of how the purpose for which funds were originally approved will be met. Changes may not be implemented until approval has been obtained via the Annual Fiscal Forecast within the SmartSimple online grants management system and/or approval of the budget change request. 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 not be moved from an overhead category to a non-overhead category (e.g., from Personnel to Equipment) when there are no budget category dollar amounts reflected in the original budget the grantee must seek prior Program approval. However, Direct and F&A funds may be moved from an overhead category to a non-overhead category (e.g., from Personnel to Equipment) when there are budget category dollar amounts reflected in the original budget the grantee must seek prior Program approval. In this case, the F&A costs associated with the original budget category may be forfeited and returned to the funding program in accordance with program rules. 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 may not exceed the previously approved total award amount. In addition, changes that increase the direct costs cannot exceed any cap amount specific for the award type. Any requested reapportionment of the total direct cost to the total F&A costs or vice-versa is not allowed. (See Sections 3.1.4 and 3.1.5 for requirements on changes to F&A costs.)

When to Submit a Budget Change Request

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

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Dollar and Percentage Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Equipment</td>
<td>Any increase by more than $5,000 AND 25% of the Equipment budget category for the year</td>
</tr>
<tr>
<td>Travel</td>
<td>Any increase over $5,000 of the Travel budget category for the year</td>
</tr>
</tbody>
</table>
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 by RGPO and the project must be terminated. In this case, the Final Progress Report and the Final Fiscal Report along with all unexpended funds must be submitted to RGPO 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 changes by 25% or more annually from the level reported in either the application or the most recent report of a change (e.g., from 40% to 30% 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
- 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 institution eligible to receive RGPO awards, the award may be transferred to the new institution with program approval. At the request of the PI, ownership of materials and equipment purchased or created with RGPO grant funds for work on the project may transfer to the new institution (see Section 2.3). Awards may not be transferred to program-ineligible institutions. 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 Progress Report must be submitted and accepted, unless exempted by the RGPO program RFP.

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/acknowledgement to accept the award from the prospective recipient institutional official 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 any new or added key personnel
- **Other Support** for key personnel
- **Facilities and Resources**
- **Human and/or Animal Subject Assurances**, where applicable, from a federally approved IRB/IACUC
- **Proposed Milestones** and **Research Plan** for continuing the project at the new institution
- **Certification of the approved F&A rate** (where applicable)

3.4.2.3 Indirect (F&A) Cost Recovery

When the move involves a transfer from an institution eligible to recover indirect costs to one that has a lower F&A rate, the award to the prospective institution will provide funds for direct costs remaining in the grant plus indirect 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 indirect costs only if the research goals are not compromised by the re-budgeting. For CHRP, the maximum indirect costs supported would be 30% of the direct expenses excluding equipment. RGPO 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. Depending on the award requirements for specific mechanisms and award types, specified collaborations between institutions and investigators may be terminated if any of the participating investigators and/or institutions resigns. Approvals for changes in the collaborating institutions are at the discretion of the RGPO funding program, 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 award budgets and activities 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 Postdoctoral Fellowship and Predoctoral 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 Fellow’s 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 impact 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, RGPO funding must be terminated immediately, or at the end of the academic term, as determined by the specific RGPO program. In this case, the Final Progress Report and the Final Fiscal Report along with all unexpended funds must be refunded to RGPO within 90 days of the termination date. 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 upon submission and approval of an Annual Fiscal Forecast (see Section 3.7.1). During the final year, funds may be carried forward beyond the original grant termination date upon submission and approval of a No Cost Extension request (see Section 3.7.2).

RGPO 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 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 Annual Fiscal Forecast Required for Carry-Forward Request
The grantee must submit an Annual Fiscal Forecast activity via the SmartSimple online grant management system 30 days before the due date to carry forward unexpended funds when the total unexpended balance exceeds 25% of the original annual direct cost allocation or $75,000.

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 Budget Change Request has been initiated and approved as outlined in Section 3.3.

For grantees receiving annual grant payments, the subsequent year’s disbursement may be postponed if the carry-forward amount is greater than 50% of the current year’s disbursement and greater than $75,000. In addition, non-UC grants and UC grants that received a multi-year advance payment will need Program approval in order to expend the subsequent year’s disbursement (grants with lump sum payments do not have an actual annual disbursement as multiple year budget amounts have been advanced to the grantee; however, the grantee is still required to expend disbursements according to the budgeted period). Also, an interim Progress Report(s) may be requested by the Program. However, there may be compelling reasons not to withhold the subsequent year’s disbursement, and this action will be at the discretion of the Program Director.

If the subsequent year’s disbursement is postponed, the PI will be instructed to request the next year’s disbursement when 25% of the funds that were carried forward have been expended or obligated. This request must be accompanied by an interim Annual Fiscal Report (via Annual Fiscal Forecast). 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 end date, a No Cost Extension for 3 months, 6 months, 9 months, or 12 months may be requested, creating an additional project term of up to one 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 Progress Report for the final 15 months (nine months if the original final period was six months) of the project is due 90 days after the
new end date. Six-, nine-, and twelve-month extension requests require a complete Annual Progress Report when the No Cost Extension request is made (see Section 7.1). However, if a grant is awarded for 18 months and the PI has filed an Annual Progress Report within the past six months, then a three-, six-, or twelve-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 three months after the grant terminates.

The approved Request for No Cost Time Extension 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, including multi-year awards released in advance, as the encumbered future-year funding must also be returned to RGPO.

### 4 ACKNOWLEDGMENT OF SUPPORT

All publications resulting from research conducted with support from RGPO grants must acknowledge receipt of such support by using the following wording:

> This research was supported by funds from the [California Breast Cancer Research Program, or California Tobacco-Related Disease Research Program, or California HIV/AIDS Research Program, or UC Multi-Campus Research Programs and Initiatives, or UC National Laboratory Fees Research Program, or UC Cancer Research Coordinating Committee,] of the University of California, Grant Number [xxxx].

Please note that all publications are subject to the University of California and RGPO Open Access Policy (Section 7.6).

### 5 DISPUTE RESOLUTION

Disputes are defined as grantee 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 Vice President of Research and Innovation, University of California, Office of the President, within 30 days of receiving notification of a program’s action. The Vice President of Research and Innovation 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 Innovation, the Executive Director of RGPO or the Program Directors.

Upon receipt of a statement contesting a program’s action, the Vice President of Research and Innovation 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 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 RGPO Executive Director, who will render a final written decision and transmit it to the complainant, the members of the dispute-resolution committee and the Program Director. This written decision is not subject to appeal within the University of California.

6 RESEARCH MISCONDUCT AND CONFLICT OF INTEREST

6.1 Research Misconduct

For Statewide Research Programs (e.g., CBCRP, CHRP, TRDRP), RGPO manages allegations of research misconduct in general accord with the policies and procedures employed by the National Institutes of Health (NIH). For UCRI programs, RGPO applies UC policy. 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, or the non-UC campus based Research Compliance Officer, as applicable.

6.2 Conflict of Interest

RGPO grant recipients must adhere to the Federal OMB Uniform Guidance regarding conflict of interest. Grant recipients must establish safeguards to prevent employees, consultants, subcontractors, 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. No employee, officer, or agent of a grantee may participate in the application or administration of any RGPO award or contract funded by an RGPO award if he or she has a real or apparent conflict of interest. The officers, employees, and agents of the grantee may neither solicit nor accept gratuities, favors, or anything of monetary value from award contractors or parties to subawards. The grantee’s standards of conduct must provide for disciplinary actions to be applied for violations of such standards by officers, employees, or agents of the grantee.

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, employee, subcontractor and consultant working on the grant-supported project or activity, and each member of its governing board. A copy must also be provided to RGPO upon request. 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 grant, the appropriate RGPO Program Officer must be notified immediately.

6.2.1 Disclosure of Violations

All RGPO grantees and subcontractors must disclose, in a timely manner, in writing to RGPO all violations of federal and California criminal law involving fraud, bribery, or gratuity violations potentially affecting the award. Written disclosure must be made to the RGPO Executive Director, Program Director and the University of California Office of Ethics, Compliance and Audit Services.

7 REPORTING REQUIREMENTS

Note: A failure to submit annual progress, annual fiscal forecasts and fiscal reports on the scheduled due dates will result in a delay of continuation funding. Reports that become more than 60 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, fiscal forecast (see sections 3.3 and 3.7.1) and fiscal report 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. RGPO research programs are 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. Projects must maintain active status for all human/animal subjects for the duration of the research project. Failure to maintain up to date human/animal subject certification will result in a stop work order and recall of award funds.

All reports are made available 30 days prior to the due date and are completed within the SmartSimple online grants management system (as directed per the instructions received with the 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 and institutions with delinquent reports will not be eligible to apply for new awards.
### Annual Report Due Dates

<table>
<thead>
<tr>
<th>Grant Start Date (as designated on Award Notice)</th>
<th>Annual Progress and Annual Fiscal Forecast Reports Due Date*</th>
<th>Annual Fiscal Report Due Date*</th>
</tr>
</thead>
<tbody>
<tr>
<td>July</td>
<td>June 1</td>
<td>September 30</td>
</tr>
<tr>
<td>August</td>
<td>July 1</td>
<td>October 31</td>
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<td>July 31</td>
</tr>
<tr>
<td>June</td>
<td>May 1</td>
<td>August 31</td>
</tr>
</tbody>
</table>

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

### Final Report Due Dates

<table>
<thead>
<tr>
<th>Grant End Date (as designated on Award Notice)</th>
<th>Final Progress and Fiscal Report Due Date*</th>
</tr>
</thead>
<tbody>
<tr>
<td>June 30</td>
<td>September 30</td>
</tr>
<tr>
<td>July 31</td>
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<tr>
<td>November 30</td>
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</tr>
<tr>
<td>December 31</td>
<td>March 31</td>
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<td>January 31</td>
<td>April 30</td>
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<td>February 28</td>
<td>May 31</td>
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<td>March 31</td>
<td>June 30</td>
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<td>April 30</td>
<td>July 31</td>
</tr>
<tr>
<td>May 31</td>
<td>August 31</td>
</tr>
</tbody>
</table>

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

### 7.1 Annual/Final Progress Reports and Annual Fiscal Forecast

Either an Annual or Final Progress Report and an Annual Fiscal Forecast (the latter Report may not apply to the UCRI programs CRCC, LFRP, and MRPI) are required for each project year. No disbursement or permission to encumber continuation funds will be authorized unless a complete Progress Report has been submitted.

The Annual Fiscal Forecast is required in order to request a carry forward of unexpended funds and communicates to RGPO to initiate a budget change request (if needed). An Annual Fiscal Forecast is not required the final project year unless a No Cost Time Extension is being requested.

All reports are managed in the SmartSimple online management system and are made available in the Deliverables section of your Home page.
Other Support (NIH format-See Form on Last Page)

RGPO programs may require annual updates of Other Support forms. When required, 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% or 12 months.

Publications

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. Use additional pages if necessary; if more than one page is used, number the pages 6A, 6B, etc. Please note that all publications are subject to the University of California or RGPO Open Access Policy (Section 7.7).

Human & Animal Subjects Usage

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 and/or recall 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, the RGPO program may require reporting regarding the Ethnicity by Gender of the study population in the sample to date. 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.

Women and Racially/Ethnically Diverse Groups as Research Participants (for all programs)

It is the policy of the University of California that research involving human subjects include members of ethnically and racially diverse groups and persons of both genders in study populations. Applicants may be required provide a summary of how women and/or diverse populations will be included as research participants. If adequate inclusion of one gender and/or diverse populations as subjects is impossible or inappropriate, the rationale for the study population must be clearly explained and justified.

Patents and Licenses

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.

**Open Access Compliance**

Grantees that have publications related to funding from any RGPO program (including CBCRP, CHRP, CRCC, LFRP, MRPI, TRDRP, and other special initiatives) since April 22, 2014, should mark yes.

Publications related to RGPO funding should be uploaded to the UC publication management system and linked to the relevant program funder. For more information, refer to Open Access policy page on the RGPO website: [https://www.ucop.edu/research-grants-program/grant-administration/index.html](https://www.ucop.edu/research-grants-program/grant-administration/index.html).

**Community Engagement (TRDRP only)**

Special TRDRP Reporting Requirements: For all TRDRP awards, please provide the following descriptive information regarding progress on the Community Engagement plan using the Community Engagement Form:

1) Indicate whether you have made changes to your original plan submitted with your application, and if so, please describe the changes and justify them

2) List specific activities that you have undertaken to accomplish the Community Engagement Plan

3) Describe your community engagement plans for the next reporting period and how you plan to achieve all proposed activities by the end of the grant

**Advocacy Involvement (CBCRP only for IDEA and Translational Awards)**

Please provide a detailed account of the progress that was made during the reporting period toward achievement of the planned advocacy involvement activities described in the research proposal and the advocate-researcher letter of commitment. Please note: The investigator(s) and advocate(s) must each sign the form.

### 7.2 Annual and Final Fiscal Reports

The SmartSimple online grants management system will make the Fiscal Reports available approximately 30 days prior to the report due date for all projects managed in this system. The reports will be available in the Deliverables section of the institution fiscal officer’s Home page.

This report will show the Current Working Budget in the system with the program as a reporting period for the report. Any changes to the Current Working Budget due to approved change requests should be reflected in the 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. For non-UC institutions, multiyear awards paid in advance, grantees are required to indicate the interest rate and accrued interest. Supporting documentation related to the interest rate also needs to be provided with the Fiscal Report(s).
This report is an official accounting of expenditures and must be signed by an authorized fiscal officer of the institution. 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 in the Annual Fiscal Forecast (see Section 3.3) and/or Budget Change Request activity in SmartSimple. The activity may be submitted at any time, but changes may not be implemented until RGPO approval via the SmartSimple online grant management system.

If there are any funds remaining in the balance column on the Final Fiscal Report, the funds must be returned to RGPO within 90 days. Please note the method of return of funds will be a check (non-UC) or Interlocation of Transfer form (UC). All checks should be payable to the UC Regents and should be addressed to UC Regents-RGPO Attn: Program [TRDRP, CBCRP, or CHRP], 1111 Franklin Street, Oakland, CA 94607.

The Final Fiscal Report follows the Annual Fiscal Report format and provides an official accounting of all final-year expenditures. Interest revenue, if applicable, may be included in the final fiscal report. 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, 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 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 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.

### 7.4 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.

### 7.5 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, email or letter notifications of overdue/delinquent reports. Please inform the Program Officer and/or the grant’s assigned Contracts and Grants Analyst the reason for the delay in submission, and provide an expected date of compliance. Once a report is more than two months overdue without adequate response, then a final 60-day action notice 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 two months overdue, which has not responded to a final 60-day action notice, is subject to having future grant disbursements from other RGPO programs 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.

### 7.6 Document Retention Policy

Financial records, supporting documents, statistical records, and all other grant-related records pertinent to an RGPO award must be retained for a period of three years from the date of submission of the Final Fiscal (expenditure) Report. Recipients of RGPO grant funds may be subject to the examination and audit of The UC Regents and/or the Auditor General of the State of California for a period of three years after receipt of Final Fiscal and/or Progress Report.

### 7.7 RGPO Open Access Policy

RGPO is committed to disseminating research as widely as possible to promote the public benefit. To that end, RGPO grantee institutions and researchers grant RGPO a nonexclusive, irrevocable, worldwide license to exercise any and all rights under copyright and in any medium for all scholarly articles and similar works generated as a result of an RGPO grant award, and agree to authorize others to do the same, for the purpose of making their articles widely and freely available in an open access repository. This policy does not transfer copyright ownership, which remains with the author(s) or copyright owners.

Scope and Waiver (Opt-Out): The policy applies to all scholarly articles and similar works authored or co-authored as a result of research sponsored by an RGPO grant, except for any articles published before the adoption of this policy and any articles for which the grantee institution and/or researchers entered into an incompatible licensing or assignment agreement before the adoption of this policy. Upon express written request of the institutional grantee and/or researcher, RGPO will waive the license for a particular article or delay “open access” to the article for a specified period of time.

Deposit of Articles: To assist the RGPO in disseminating and archiving the articles, the grantee institution and all researchers to the grant award will commit to helping the RGPO to obtain copies of the articles that are
published as a result of an RGPO sponsored grant award. Specifically, each author will provide an electronic copy of his or her final version of the article to the RGPO by the date of its publication for inclusion in an open access repository, subject to any applicable waiver or delay referenced above. Notwithstanding the above, this policy does not in any way prescribe or limit the venue of publication.

UCRI programs (CRCC, LFRP, and MRPI) utilize the University of California Open Access policies. Please go to https://osc.universityofcalifornia.edu/open-access-at-uc/open-access-policy/policy-text/ for the most recent open access policies for the University of California.
**University of California Office of the President**  
**Research Grants Program Office**

**Progress or Final Report**  
*(Equivalent NIH form is acceptable)*

**Form 5**

<table>
<thead>
<tr>
<th>AWARD NUMBER:</th>
<th>PROJECT YEAR (Check one): ☐ 1st ☐ 2nd ☐ 3rd ☐ Final</th>
</tr>
</thead>
<tbody>
<tr>
<td>PRINCIPAL INVESTIGATOR(S):</td>
<td></td>
</tr>
</tbody>
</table>

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 percent FTE for any individual cannot exceed 12 person months.

**NAME OF PI OR KEY PERSONNEL**

**ACTIVE AND PENDING GRANTS**

<table>
<thead>
<tr>
<th>GRANT NUMBER (PI NAME)</th>
<th>SOURCE</th>
<th>DATES OF ACTIVE/PENDING GRANT SUPPORT</th>
<th>PERCENT EFFORT (months devoted)</th>
</tr>
</thead>
<tbody>
<tr>
<td>2 R01 HL 00000-13 (Bowen)</td>
<td>NIH/NHLBI</td>
<td>3/1/01 – 2/28/06</td>
<td>3.6</td>
</tr>
<tr>
<td>CFF#99-011 (Bowen)</td>
<td>Cystic Fibrosis Foundation</td>
<td>7/1/05 – 8/31/07</td>
<td>1.2</td>
</tr>
</tbody>
</table>

**Bowen, MF (PI)**

**ACTIVE**

- **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

- **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**

- **National Science Foundation**  
  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.