



Grant Number: 1DP3DK094352-01

Principal Investigator(s):

Kumar Sharma, MD

Project Title: Novel Paradigms in Diabetic Complications

Cook, Rachel
9500 Gilman Drive
MC 0742

Award e-mailed to: nihawds@ocga.ucsd.edu

Budget Period: 09/30/2011 – 08/31/2016

Project Period: 09/30/2011 – 08/31/2016

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$5,950,661 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF CALIFORNIA SAN DIEGO in support of the above referenced project. This award is pursuant to the authority of 2 USC 241 42 CFR PART 52 & 45 CFR PART 74 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, that cites results from NIH grant-supported research must include an acknowledgment of NIH grant support and disclaimer such as "The project described was supported by Grant Number DP3DK094352 from the National Institute Of Diabetes And Digestive And Kidney Diseases. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of Diabetes And Digestive And Kidney Diseases or the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients are required to comply with the NIH Public Access Policy. This includes submission to PubMed Central (PMC), upon acceptance for publication, an electronic version of a final peer-reviewed, manuscript resulting from research supported in whole or in part, with direct costs from National Institutes of Health. The author's final peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process. For additional information, please visit <http://publicaccess.nih.gov/>.

Award recipients must promote objectivity in research by establishing standards to ensure that the design, conduct and reporting of research funded under NIH-funded awards are not biased by a conflicting financial interest of an Investigator. Investigator is defined as the Principal Investigator and any other person who is responsible for the design, conduct, or reporting of NIH-funded research or proposed research, including the Investigator's spouse and dependent children. Awardees must have a written administrative process to identify and manage financial conflict of interest and must inform Investigators of the conflict of interest policy and of the Investigators' responsibilities. Prior to expenditure of these awarded funds, the Awardee must report to the NIH Awarding Component the existence of a conflicting interest and within 60 days of any new conflicting interests identified after the initial report. Awardees must comply with these and all other aspects of 42 CFR Part 50, Subpart F. These requirements also apply to

subgrantees, contractors, or collaborators engaged by the Awardee under this award. The NIH website <http://grants.nih.gov/grants/policy/loi/index.htm> provides additional information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

CHARLETTE KENLEY
Grants Management Officer
NATIONAL INSTITUTE OF DIABETES AND DIGESTIVE AND KIDNEY DISEASES

Additional information follows

SECTION I – AWARD DATA – 1DP3DK094352-01**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$2,061,891
Fringe Benefits	\$661,899
Supplies	\$613,108
Travel Costs	\$25,000
Other Costs	\$276,360
Consortium/Contractual Cost	\$300,232

Federal Direct Costs	\$3,938,490
Federal F&A Costs	\$2,012,171
Approved Budget	\$5,950,661
Federal Share	\$5,950,661
TOTAL FEDERAL AWARD AMOUNT	\$5,950,661

AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$5,950,661
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$5,950,661	\$5,950,661

Fiscal Information:

CFDA Number:	93.847
EIN:	1956006144A1
Document Number:	DDK094352A
Fiscal Year:	2011

IC	CAN	2011
DK	8469927	\$5,950,661

NIH Administrative Data:

PCC: KMF KDC / OC: 414A / Processed: KENLEYC 09/19/2011

SECTION II – PAYMENT/HOTLINE INFORMATION – 1DP3DK094352-01

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

SECTION III – TERMS AND CONDITIONS – 1DP3DK094352-01

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

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

(See NIH Home Page at 'http://grants.nih.gov/grants/policy/awardconditions.htm' for certain references cited above.)

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

MULTI-YEAR FUNDED AWARD: This is a multi-year funded award. A progress report is due annually on or before the anniversary of the budget/project period start date of the award, in accord with the instructions posted at: <http://grants.nih.gov/grants/policy/myf.htm>.

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the Central Contractor Registration. Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award may be subject to the Transparency Act subaward and executive compensation reporting requirements of 2 CFR Part 170. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

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

A final Federal Financial Report (FFR) (SF 425) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date; see the NIH Grants Policy Statement Section 8.6.1 Financial Reports, <http://grants.nih.gov/grants/policy/#gps>, for additional information on this submission requirement. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data.

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date.

Furthermore, unless an application for competitive renewal is submitted, a final progress report must also be submitted within 90 days of the expiration date. Institute/Centers may accept the progress report contained in competitive renewal (type 2) in lieu of a separate final progress report. Contact the awarding IC for IC-specific policy regarding acceptance of a progress report contained in a competitive renewal application in lieu of a separate final progress report.

NIH strongly encourages electronic submission of the final progress report and the final invention statement through the Closeout feature in the Commons. If the final progress report and final invention statement are not submitted through the Commons, a copy can be emailed or sent to the contacts listed below. Copies of the HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>.

Submissions of the final progress report and HHS 568 may be e-mailed as PDF attachments to the NIH Central Closeout Center at: DeasCentralized@od.nih.gov.

Paper submissions of the final progress report and the HHS 568 may be faxed to the NIH Central Closeout Center at 301-480-2304 or mailed to the NIH Central Closeout Center at the following address:

NIH/OD/OER/DEAS
Central Closeout Center
6705 Rockledge Drive, Room 2207
Bethesda, MD 20892-7987 (for regular or U.S. Postal Service Express mail)
Bethesda, MD 20817 (for other courier/express mail delivery only)

The final progress report should include, at a minimum, a summary of progress toward the achievement of the originally stated aims, a list of significant results (positive and/or negative), a list of publications and the grant number. If human subjects were included in the research, the final progress report should also address the following:

Report on the inclusion of gender and minority study subjects (using the gender and minority Inclusion Enrollment Form as provided in the PHS 2590 and available at <http://grants.nih.gov/grants/forms.htm>).

Where appropriate, indicate whether children were involved in the study or how the study was relevant for conditions affecting children (see NIH Grants Policy Statement Section 4.1.15.7 Inclusion of Children as Subjects in Clinical Research at URL <http://grants.nih.gov/grants/policy/#gps>).

Describe any data, research materials (such as cell lines, DNA probes, animal models), protocols, software, or other information resulting from the research that is available to be shared with other investigators and how it may be accessed.

Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the final progress report.

Note, if this is the final year of a competitive segment due to the transfer of the grant to another institution, then not all the requirements stated above are applicable. Specifically a Final Progress Report is not required. However, a final FFR is required and should be submitted electronically as noted above. In addition, if not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

Treatment of Program Income: Additional Costs

SECTION IV – DK Special Terms and Conditions – 1DP3DK094352-01

This grant is in response to RFA-DK-10-012 "Type 1 Diabetes Impact Award (DP3)". Acceptance of this award requires compliance with this solicitation. See the NIH Guide at <http://grants.nih.gov/grants/guide/index.html> for copy of the RFA/PA that includes administrative and programmatic requirements specific to this award.

In order to meet current NIDDK objectives and based on the relative scientific merit ranking of this application, the budget has been programmatically reduced. Although specific budget adjustments have been made, the Institution and Principal Investigator retain standard rebudgeting authorities for this mechanism of support.

In accordance with Notice Number NOT-OD-11-068: NIH Fiscal Operations Plan for FY 2011 <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-11-068.html>, future budget period escalation is 2% or as requested, whichever is less.

See the budget information below for additional information.

This award includes funds awarded for consortium activity with University of Pennsylvania in the amount of \$300,232 (\$187,645 direct costs + \$112,587 facilities and administrative costs). Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at http://grants1.nih.gov/grants/policy/nihgps_2010/nihgps_ch15.htm#_Toc271265264.

In addition to the PI, the following individuals are named as key personnel:

Harold Feldman

Written prior approval is required if any of the individual(s) named above withdraws from the project entirely, is absent from the project during any continuous period of 3 months or more, or reduces time devoted to the project by 25 percent or more from the level that was approved at the time of award.

For all active research grants and cooperative agreements, NIH adopted the 1997 Office of Management and Budget (OMB) revised minimum standards for maintaining, collecting, and presenting data on race and ethnicity. Collection of this information and use of these categories is required for research that involves human subjects. The minimum standards are described in the 1997 OMB Directive 15, <http://www.whitehouse.gov/OMB/fedreg/ombdir15.html>.

Investigators may choose to report ethnicity/race and sex/gender sample composition using the Inclusion Enrollment Report <http://grants.nih.gov/grants/funding/phs398/enrollmentreport.pdf>

For more information see the NIH Guide Announcements
<http://grants2.nih.gov/grants/guide/notice-files/NOT-OD-01-053.html>

The grantee is required to follow the model organism sharing plan included in the application and may not implement any changes in the plan without the written prior approval of the NIDDK.

A review of other support information provided in the pending application for this project indicates that with the award of this project, Trey Ideker's effort commitment may exceed 100%. If applicable, the awardee is responsible for both eliminating this overcommitment (and any other overcommitment of effort or budgetary overlap) and for obtaining appropriate prior approval(s) in accordance with NIH and institutional policy requirements.

The grantee institution must submit documents certifying resolution of this overcommitment to the grants management specialist named below in writing within 30 days of the issue date of this notice of grant award.

STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

Grants Management Specialist: Amanda Linehan
Email: linehana@mail.nih.gov **Phone:** 301-594-4749 **Fax:** 301-594-9523

Program Official: Michael Francis Flessner
Email: flessnermf@niddk.nih.gov **Phone:** 301-402-3151 **Fax:** 301-480-3510

SPREADSHEET SUMMARY

GRANT NUMBER: 1DP3DK094352-01

INSTITUTION: UNIVERSITY OF CALIFORNIA SAN DIEGO

<i>Budget</i>	<i>Year 1</i>
Salaries and Wages	\$2,061,891
Fringe Benefits	\$661,899
Supplies	\$613,108
Travel Costs	\$25,000
Other Costs	\$276,360
Consortium/Contractual Cost	\$300,232
TOTAL FEDERAL DC	\$3,938,490
TOTAL FEDERAL F&A	\$2,012,171
TOTAL COST	\$5,950,661

<i>Facilities and Administrative Costs</i>	<i>Year 1</i>
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F&A Cost Rate 1	54.5%
F&A Cost Base 1	\$524,480
F&A Costs 1	\$285,842
F&A Cost Rate 2	55%
F&A Cost Base 2	\$174,827
F&A Costs 2	\$96,155
F&A Cost Rate 3	55%
F&A Cost Base 3	\$698,609
F&A Costs 3	\$384,235
F&A Cost Rate 4	55%
F&A Cost Base 4	\$727,171
F&A Costs 4	\$399,944
F&A Cost Rate 5	55%
F&A Cost Base 5	\$754,565
F&A Costs 5	\$415,011
F&A Cost Rate 6	55%
F&A Cost Base 6	\$783,607
F&A Costs 6	\$430,984