



Recipient Information

1. Recipient Name

UNIVERSITY OF CONNECTICUT
263 FARMINGTON AVE, ASB #3

FARMINGTON, 06032

2. Congressional District of Recipient

05

3. Payment System Identifier (ID)

1521725543A1

4. Employer Identification Number (EIN)

521725543

5. Data Universal Numbering System (DUNS)

022254226

6. Recipient's Unique Entity Identifier

H6D6JMXJXDE6

7. Project Director or Principal Investigator

Michael Joseph Guertin, PHD

guertin@uchc.edu
607-542-9286

8. Authorized Official

Tracy M Root
troot@uchc.edu
860-679-2434

Federal Agency Information

9. Awarding Agency Contact Information

ILENE GLASSMAN
Grants Management Specialist
NATIONAL INSTITUTE OF GENERAL
MEDICAL SCIENCES
glassmai@mail.nih.gov
301-594-4648

10. Program Official Contact Information

DONNA M KRASNEWICH

NATIONAL INSTITUTE OF GENERAL
MEDICAL SCIENCES
dkras@mail.nih.gov
301 443 6954

Federal Award Information

11. Award Number

5R35GM128635-05

12. Unique Federal Award Identification Number (FAIN)

R35GM128635

13. Statutory Authority

42 USC 241 42 CFR 52

14. Federal Award Project Title

Mechanisms of coordinate gene regulation by transcription factors

15. Assistance Listing Number

93.859

16. Assistance Listing Program Title

Biomedical Research and Research Training

17. Award Action Type

Non-Competing Continuation

18. Is the Award R&D?

Yes

Summary Federal Award Financial Information

19. Budget Period Start Date 08/01/2022 – End Date 07/31/2023

20. Total Amount of Federal Funds Obligated by this Action \$410,000

20 a. Direct Cost Amount \$250,000

20 b. Indirect Cost Amount \$160,000

21. Authorized Carryover

22. Offset

23. Total Amount of Federal Funds Obligated this budget period \$410,000

24. Total Approved Cost Sharing or Matching, where applicable \$0

25. Total Federal and Non-Federal Approved this Budget Period \$410,000

26. Project Period Start Date 08/01/2021 – End Date 07/31/2023

27. Total Amount of the Federal Award including Approved Cost
Sharing or Matching this Project Period \$820,000

28. Authorized Treatment of Program Income

Additional Costs

29. Grants Management Officer - Signature

Susan F. South

30. Remarks

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



SECTION I – AWARD DATA – 5R35GM128635-05

Principal Investigator(s):

Michael Joseph Guertin, PHD

Award e-mailed to: Grantaward@uchc.edu

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$410,000 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UNIVERSITY OF CONNECTICUT HEALTH CENTER in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Institute Of General Medical Sciences of the National Institutes of Health under Award Number R35GM128635. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator’s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Susan F. South
Grants Management Officer
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

Cumulative Award Calculations for this Budget Period (U.S. Dollars)

Federal Direct Costs	\$250,000
Federal F&A Costs	\$160,000
Approved Budget	\$410,000
Total Amount of Federal Funds Authorized (Federal Share)	\$410,000
TOTAL FEDERAL AWARD AMOUNT	\$410,000
 AMOUNT OF THIS ACTION (FEDERAL SHARE)	 \$410,000

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
5	\$410,000	\$410,000

Fiscal Information:

Payment System Identifier: 1521725543A1
Document Number: RGM128635B
PMS Account Type: P (Subaccount)
Fiscal Year: 2022

IC	CAN	2022
GM	8019957	\$410,000

NIH Administrative Data:

PCC: G121DK / **OC:** 41025 / **Released:** South, Susan 07/14/2022

Award Processed: 07/15/2022 12:15:12 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R35GM128635-05

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

SECTION III – STANDARD TERMS AND CONDITIONS – 5R35GM128635-05

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

- 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 75.
- National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of “Research and Development” at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but

non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

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

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

This award is subject to the requirements of 2 CFR Part 25 for institutions to obtain a unique entity identifier (UEI) and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a UEI requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R35GM128635. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

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

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

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

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 120 days of the expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>. This paragraph does not apply to Training grants, Fellowships, and certain other programs—i.e., activity codes C06, D42, D43, D71, DP7, G07, G08, G11, K12, K16, K30, P09, P40, P41, P51, R13, R25, R28, R30, R90, RL5, RL9, S10, S14, S15, U13, U14, U41, U42, U45, UC6, UC7, UR2, X01, X02.

Unless an application for competitive renewal is submitted, a Final Research Performance Progress Report (Final RPPR) must also be submitted within 120 days of the period of performance end date. If a competitive renewal application is submitted prior to that date, then an Interim RPPR must be submitted by that date as well. Instructions for preparing an Interim or Final RPPR are at: https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the Interim or Final RPPR. *Note that*

data reported within Section I of the Interim and Final RPPR forms will be made public and should be written for a lay person audience.

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

Email: The final invention statement may be e-mailed as PDF attachments to:
NIHCloseoutCenter@mail.nih.gov.

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

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

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

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:
Additional Costs

SECTION IV – GM SPECIFIC AWARD CONDITIONS – 5R35GM128635-05

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

1. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice [NOT-OD-22-105](#).
2. This award is subject to the conditions set forth in PAR17-190 <http://grants.nih.gov/grants/guide/pa-files/PAR-17-190.html>, "Maximizing Investigators' Research Award for New and Early Stage Investigators (R35)," which are hereby incorporated by reference as special terms and conditions of this award. Copies of this Funding Opportunity Announcement can be found at the following link: <http://grants.nih.gov/grants/guide/index.html>.
3. The Principal Investigator is required to devote at least 51% of his/her research effort on this R35 (MIRA).

4. The Principal Investigator of this MIRA grant is restricted from receiving other sources of NIGMS funding other than the exceptions referenced in the MIRA funding opportunity announcement (FOA).
5. None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the applicable salary cap. Current salary cap levels can be found at the following URL:
http://grants1.nih.gov/grants/policy/salcap_summary.htm
6. As appropriate, the awardee is required to follow the sharing plan(s) for unique research resources (i.e. Data, Model Organism, Genomic Data, or other) associated with this project and may not implement any changes to the plan(s) without the written prior approval of the National Institute of General Medical Sciences.

SECTION V - NIGMS CONTACTS

The NIGMS WWW home page is at <http://www.nigms.nih.gov>

SPREADSHEET SUMMARY

AWARD NUMBER: 5R35GM128635-05

INSTITUTION: UNIVERSITY OF CONNECTICUT HEALTH CENTER

Facilities and Administrative Costs	Year 5
F&A Cost Rate 1	64%
F&A Cost Base 1	\$250,000
F&A Costs 1	\$160,000



Recipient Information

1. Recipient Name

RECTOR & VISITORS OF THE UNIVERSITY
OF VIRGINIA
1001 N EMMET ST

CHARLOTTESVILLE, VA 22903

2. Congressional District of Recipient

05

3. Payment System Identifier (ID)

1546001796A1

4. Employer Identification Number (EIN)

546001796

5. Data Universal Numbering System (DUNS)

065391526

6. Recipient's Unique Entity Identifier

7. Project Director or Principal Investigator

Michael Joseph Guertin, PHD

guertin@virginia.edu

434-924-0328

8. Authorized Official

Mr. Stewart P. Craig

Federal Agency Information

9. Awarding Agency Contact Information

ILENE GLASSMAN

Grants Management Specialist

NATIONAL INSTITUTE OF GENERAL

MEDICAL SCIENCES

glassmai@mail.nih.gov

301-594-4648

10. Program Official Contact Information

Ronald Adkins

Scientific Review Officer

NATIONAL INSTITUTE OF GENERAL

MEDICAL SCIENCES

ronald.adkins@nih.gov

301 435 4511

Federal Award Information

11. Award Number

5R35GM128635-03

12. Unique Federal Award Identification Number (FAIN)

R35GM128635

13. Statutory Authority

42 USC 241 42 CFR 52

14. Federal Award Project Title

Mechanisms of coordinate gene regulation by transcription factors

15. Assistance Listing Number

93.859

16. Assistance Listing Program Title

Biomedical Research and Research Training

17. Award Action Type

Non-Competing Continuation (REVISED)

18. Is the Award R&D?

Yes

Summary Federal Award Financial Information

19. Budget Period Start Date 08/01/2020 – End Date 07/30/2021

20. Total Amount of Federal Funds Obligated by this Action \$0

20 a. Direct Cost Amount \$0

20 b. Indirect Cost Amount \$0

21. Authorized Carryover \$0

22. Offset \$0

23. Total Amount of Federal Funds Obligated this budget period \$403,750

24. Total Approved Cost Sharing or Matching, where applicable \$0

25. Total Federal and Non-Federal Approved this Budget Period \$403,750

26. Project Period Start Date 08/01/2018 – End Date 07/30/2021

27. Total Amount of the Federal Award including Approved Cost \$1,211,250

Sharing or Matching this Project Period

28. Authorized Treatment of Program Income

Additional Costs

29. Grants Management Officer - Signature

Adam S Barnhart

30. Remarks

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



SECTION I – AWARD DATA – 5R35GM128635-03 REVISED

Principal Investigator(s):

Michael Joseph Guertin, PHD

Award e-mailed to: osp-nih-noa@virginia.edu

Dear Authorized Official:

The National Institutes of Health hereby revises this award (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to The Rector and Visitors of the University of Virginia in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Institute Of General Medical Sciences of the National Institutes of Health under Award Number R35GM128635. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator’s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Adam S Barnhart
Grants Management Officer
NATIONAL INSTITUTE OF GENERAL MEDICAL SCIENCES

Additional information follows

Cumulative Award Calculations for this Budget Period (U.S. Dollars)

Federal Direct Costs	\$250,000
Federal F&A Costs	\$153,750
Approved Budget	\$403,750
Total Amount of Federal Funds Authorized (Federal Share)	\$403,750
TOTAL FEDERAL AWARD AMOUNT	\$403,750

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$0

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$403,750	\$403,750

Fiscal Information:

Payment System Identifier: 1546001796A1
Document Number: RGM128635A
PMS Account Type: P (Subaccount)
Fiscal Year: 2020

IC	CAN	2020
GM	8019957	\$403,750

NIH Administrative Data:

PCC: G121RN / **OC:** 41025 / **Released:** Barnhart, Adam 07/20/2021

Award Processed: 07/21/2021 12:02:23 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R35GM128635-03 REVISED

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

SECTION III – STANDARD TERMS AND CONDITIONS – 5R35GM128635-03 REVISED

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

- 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 75.
- National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of “Research and Development” at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other

than the rate(s) specified in the award document(s).

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

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

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

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

This award has been assigned the Federal Award Identification Number (FAIN) R35GM128635. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

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

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

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

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 120 days of the expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>. This paragraph does not apply to Training grants, Fellowships, and certain other programs—i.e., activity codes C06, D42, D43, D71, DP7, G07, G08, G11, K12, K16, K30, P09, P40, P41, P51, R13, R25, R28, R30, R90, RL5, RL9, S10, S14, S15, U13, U14, U41, U42, U45, UC6, UC7, UR2, X01, X02.

Unless an application for competitive renewal is submitted, a Final Research Performance Progress Report (Final RPPR) must also be submitted within 120 days of the period of performance end date. If a competitive renewal application is submitted prior to that date, then an Interim RPPR must be submitted

by that date as well. Instructions for preparing an Interim or Final RPPR are at: https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the Interim or Final RPPR. *Note that data reported within Section I of the Interim and Final RPPR forms will be made public and should be written for a lay person audience.*

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

Email: The final invention statement may be e-mailed as PDF attachments to: NIHCloseoutCenter@mail.nih.gov.

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

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

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

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:

Additional Costs

SECTION IV – GM SPECIFIC AWARD CONDITIONS – 5R35GM128635-03 REVISED

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

REVISED

This revision deletes future year commitments due to the transfer of Dr. Guerlin to the University of Connecticut Health Sciences Center.

NIH policy requires submission of the following final reports within **120 days after the grant's final budget period expires**:

(1) **Final Invention Statement (HHS-568):** If the grantee institution is registered to do business in the NIH Commons, all required documents should be submitted electronically. The Final Invention Statement (FIS) should be submitted electronically through the NIH Commons available at <https://commons.era.nih.gov/commons/>.

If electronic submission is not feasible, you may fax your documents to our central fax gateway at 301-480-2304. This form is available at: <http://grants.nih.gov/grants/forms.htm>. Paper submission of these documents also may be mailed to:

NIH/OD/OER/DEAS
Central Closeout Center
6705 Rockledge Drive, Room 2207
Bethesda, MD 20892-7987

(2) **Federal Financial Report (FFR), (SF 425/SF 425A):** A Federal Financial Report (FFR) is due within 120 days of this date and must be submitted through the Payment Management System (PMS) per [NOT-OD-21-046](#).

The grantee is reminded to utilize Line 12 of the FFR when requesting any remaining unobligated balance as carryover for use at the new institution.

TERMS AND CONDITIONS FROM PREVIOUS AWARD

1. This award is subject to the conditions set forth in [PAR17-190](#) <http://grants.nih.gov/grants/guide/pa-files/PAR-17-190.html>, "Maximizing Investigators' Research Award for New and Early Stage Investigators (R35)," which are hereby incorporated by reference as special terms and conditions of this award. Copies of this Funding Opportunity Announcement can be found at the following link: <http://grants.nih.gov/grants/guide/index.html>.

2. The Principal Investigator is required to devote at least 51% of his/her research effort on this R35 (MIRA).

3. The Principal Investigator of this MIRA grant is restricted from receiving other sources of NIGMS funding.

4. None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the applicable salary cap. Current salary cap levels can be found at the following URL: http://grants1.nih.gov/grants/policy/salcap_summary.htm

5. This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice [NOT-OD-20-068](#).

6. As appropriate, the awardee is required to follow the sharing plan(s) for unique research resources (i.e. Data, Model Organism, Genomic Data, or other) associated with this project and may not implement any changes to the plan(s) without the written prior approval of the National Institute of General Medical Sciences.

SECTION V - NIGMS CONTACTS

The NIGMS WWW home page is at <http://www.nigms.nih.gov>

SPREADSHEET SUMMARY

AWARD NUMBER: 5R35GM128635-03 REVISED

INSTITUTION: The Rector and Visitors of the University of Virginia

Facilities and Administrative Costs	Year 3
F&A Cost Rate 1	61.5%
F&A Cost Base 1	\$250,000

F&A Costs 1	\$153,750
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PI: Guertin, Michael Joseph	Title: Mechanisms of coordinate gene regulation by transcription factors	
Received: 01/11/2023	FOA: PAR22-180	Council: 10/2023
Competition ID: FORMS-G	FOA Title: Maximizing Investigators Research Award (R35 - Clinical Trial Optional)	
2 R35 GM128635-06	Dual:	Accession Number: 4787971
IPF: 1506603	Organization: UNIVERSITY OF CONNECTICUT SCH OF MED/DNT	
Former Number: 5R35GM128635-05	Department: Center for Cell Analysis and Modeling	
IRG/SRG: MRAA	AIDS: N	Expedited: N
<u>Subtotal Direct Costs</u> <u>(excludes consortium F&A)</u> Year 6: 336,240 Year 7: 336,240 Year 8: 336,240 Year 9: 336,240 Year 10: 336,240	Animals: N Humans: N Clinical Trial: N Current HS Code: 10 HESC: N HFT: N	New Investigator: N Early Stage Investigator: N
<i>Senior/Key Personnel:</i>	<i>Organization:</i>	<i>Role Category:</i>
Michael Guertin	University of Connecticut Health Center	PD/PI

Additions for Review

Accepted Publication 3 accepted publications

RESEARCH & RELATED Senior/Key Person Profile (Expanded)

PROFILE - Project Director/Principal Investigator			
Prefix: Dr.	First Name*: Michael	Middle Name Joseph	Last Name*: Guertin
	Suffix: Ph.D		
Position/Title*:	Associate Professor		
Organization Name*:	UNIVERSITY OF CONNECTICUT HEALTH CENTER		
Department:	Center for Cell Analysis & Mod		
Division:	School of Medicine		
Street1*:	400 Farmington Avenue		
Street2:			
City*:	Farmington		
County:	Hartford		
State*:	CT: Connecticut		
Province:			
Country*:	USA: UNITED STATES		
Zip / Postal Code*:	060306406		
Phone Number*: 860-679-1452	Fax Number: 860-679-1039		
E-Mail*: guertin@uchc.edu			
Credential, e.g., agency login: mjguertin			
Project Role*: PD/PI		Other Project Role Category:	
Degree Type: PHD		Degree Year: 2011	
Attach Biographical Sketch*:	File Name:	Guertin_biosketch.pdf	
Attach Current & Pending Support:	File Name:	Current_Pending-1.pdf	

PROFILE - Senior/Key Person				
Prefix: Dr.	First Name*: Sathyan	Middle Name	Last Name*: Mattada	Suffix: Ph.D
Position/Title*:	Assistant Professor			
Organization Name*:	University of Connecticut Health Center			
Department:	Center for Cell Analysis & Mod			
Division:	School of Medicine			
Street1*:	400 Farmington Avenue			
Street2:				
City*:	Farmington			
County:	Hartford			
State*:	CT: Connecticut			
Province:				
Country*:	USA: UNITED STATES			
Zip / Postal Code*:	060306406			
Phone Number*: 860-679-1452		Fax Number: 8606791039		
E-Mail*: mattada@uchc.edu				
Credential, e.g., agency login: mattadsath				
Project Role*: Faculty		Other Project Role Category:		
Degree Type: PHD		Degree Year: 2007		
Attach Biographical Sketch*:	File Name:	Mattada_biosketch.pdf		
Attach Current & Pending Support:	File Name:			

RESEARCH & RELATED BUDGET - SECTION A & B, Budget Period 1

ORGANIZATIONAL DUNS*: 0222542260000

Budget Type*: ☒ Project ☐ Subaward/Consortium

Enter name of Organization: UNIVERSITY OF CONNECTICUT HEALTH CENTER

Start Date*: 08-01-2021

End Date*: 07-31-2022

Budget Period: 1

A. Senior/Key Person

Prefix	First Name*	Middle Name	Last Name*	Suffix	Project Role*	Base Salary (\$)	Calendar Months	Academic Months	Summer Months	Requested Salary (\$)*	Fringe Benefits (\$)*	Funds Requested (\$)*
1 .	Michael		Guertin		PD/PI	140,000.00	5.52			64,400.00	28,336.00	92,736.00
2 .	Sathyan		Mattada		Faculty	81,430.00	11.4			77,359.00	34,038.00	111,397.00
Total Funds Requested for all Senior Key Persons in the attached file												
Additional Senior Key Persons: File Name:											Total Senior/Key Person	204,133.00

B. Other Personnel

Number of Personnel*	Project Role*	Calendar Months	Academic Months	Summer Months	Requested Salary (\$)*	Fringe Benefits*	Funds Requested (\$)*
1	Post Doctoral Associates	6.84			27,732.00	17,748.00	45,480.00
	Graduate Students						
	Undergraduate Students						
	Secretarial/Clerical						
1	Total Number Other Personnel					Total Other Personnel	45,480.00
Total Salary, Wages and Fringe Benefits (A+B)							249,613.00

RESEARCH & RELATED Budget {A-B} (Funds Requested)

BUDGET JUSTIFICATION

Personnel

Michael Guertin, Ph.D. PI, will devote 5.52 calendar months effort to this MIRA award (51% of his total research effort). His total research effort is 10.8 calendar months (90%). Dr. Guertin is an Assistant Professor in Biochemistry and Molecular Genetics. He has extensive experience integrating molecular biology and computational techniques to study basic mechanisms of transcription. Dr. Guertin's PhD training was in a traditional molecular biology lab, where he was an early adopter of ChIP-seq and PRO-seq. He also developed a novel experimental technique, PB-seq, that directly measures genome-wide binding constants for all transcription factor DNA interactions in the genome. As a postdoctoral fellow, Dr. Guertin focused on developing novel computational methods to study transcription factor function. Dr. Guertin characterized the mechanisms by which ER directs recruitment of cofactors that catalyze fine-structure changes in the nucleosome, which facilitates ER binding. Additionally, he provided genomic evidence for the squelching model of repression, which suggests that ER competes for common cofactors to repress genes. Dr. Guertin continues to run an interdisciplinary lab that adopts 50% molecular biology and 50% statistical/computational genomics techniques to study estrogen signaling. He will direct and oversee the experimental design and data analysis/statistical methodologies. Dr. Guertin will lead the kinetics project and perform the time course experiments, functional validation, and model development.

Sathyan Mattada, Ph.D., Assistant Professor, Faculty, 11.4 calendar months effort. Dr. Mattada is a trained molecular biologist with extensive expertise in characterizing transcription factor/DNA interactions. Dr. Mattada received the Visionary Postdoctoral Fellowship Award from the Department of Defense; currently he is using genome-editing tools to tag transcription factors endogenously to study their roles in the transcriptional response to estrogen signaling.

Sailasree Rajalekshmi, PhD postdoctoral fellow (6.84 calendar months in Y1 and 5.76 calendar months in Yr 2). Sailasree will lead the molecular mechanisms of estrogen-mediated repression project.

Laboratory Supplies

Laboratory supplies: \$387 year 1 and \$295 year 2. The remaining costs will be devoted to molecular biology reagents.