



NATIONAL HEART, LUNG, AND BLOOD INSTITUTE

Grant Number: 1R01HL135613-01
FAIN: R01HL135613

Principal Investigator(s):

Project Title:

Award e-mailed to: urnihawards@orpa.rochester.edu

Period Of Performance:

Budget Period: 01/16/2017 – 11/30/2017

Project Period: 01/16/2017 – 11/30/2021

Dear Business Official:

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

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Heart, Lung, And Blood Institute of the National Institutes of Health under Award Number R01HL135613. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

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

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

Sincerely yours,

John Diggs
Grants Management Officer
NATIONAL HEART, LUNG, AND BLOOD INSTITUTE

Additional information follows

SECTION I – AWARD DATA – 1R01HL135613-01**Award Calculation (U.S. Dollars)**

Salaries and Wages
Fringe Benefits
Personnel Costs (Subtotal)
Materials & Supplies
Travel
Other
Subawards/Consortium/Contractual Costs
Publication Costs

Federal Direct Costs
Federal F&A Costs
Approved Budget
Total Amount of Federal Funds Obligated (Federal Share)
TOTAL FEDERAL AWARD AMOUNT

AMOUNT OF THIS ACTION (FEDERAL SHARE)

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1		
2		
3		
4		
5		

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

Fiscal Information:

CFDA Name: Lung Diseases Research
CFDA Number: 93.838
EIN: 1160743209A1
Document Number: RHL135613A
PMS Account Type: P (Subaccount)
Fiscal Year: 2017

IC	CAN	2017	2018	2019	2020	2021
HL	8475150					

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

NIH Administrative Data:

PCC: LLAA N / **OC:** 414A / **Released:** DIGGSJ 01/03/2017
Award Processed: 01/06/2017 12:05:43 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01HL135613-01

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 – 1R01HL135613-01

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:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as

- those included in appropriations acts.
- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

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

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

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

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

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

This award has been assigned the Federal Award Identification Number (FAIN) R01HL135613. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

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

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

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made

publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:

Additional Costs

SECTION IV – HL Special Terms and Conditions – 1R01HL135613-01

SPECIAL FUNDING NOTICE

NIH is currently operating under a Continuing Resolution (See NIH Guide Notice NOT-OD-17-001: <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-17-001.html>) and this award is being issued in accordance with the NHLBI FY 2017 Operating Guidelines which can be found at: <https://www.nhlbi.nih.gov/research/funding/general/current-operating-guidelines>

RFA NOTICE

The Terms and Conditions of this award incorporate the operating guidelines in the RFA HL-17-008, TITLE: Pulmonary and Cardiovascular Consequences of Inhaled Nicotine (R01), which can be found at: <http://grants.nih.gov/grants/guide/rfa-files/RFA-HL-17-008.html>

MILESTONE ACCRUAL PLAN (MAP)

NHLBI support of this study is contingent upon adequate participant recruitment based on the recipient's Milestone Accrual Plan dated 12/28/2016. The recipient is expected to demonstrate best effort compliance in accordance with the NHLBI Milestone Accrual Policy (http://www.nhlbi.nih.gov/funding/policies/accrual_guidelines.htm). Failure to achieve minimally acceptable milestone recruitment levels may result in the withholding of future support and or negotiating an orderly close-out of this study.

BUDGET PERIOD

This award is issued for less than a 12-month budget period in order to distribute future noncompeting awards more evenly throughout the fiscal year. Any subsequent noncompeting budget period(s) will begin on December 1 and will be 12 months in duration. The project period end date has been adjusted accordingly.

CONSORTIUM/CONTRACTUAL COSTS

This award includes funds awarded for consortium activity with The recipient, as the direct and primary recipient of NIH grant funds, is accountable to NIH for the performance project, the appropriate expenditures of grant funds by all parties, and all other obligations of the recipient, as specified in the NIH Grants Policy Statement. In general, the requirements that apply to the recipient, including the intellectual property requirements also apply to consortium participant (s)

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: Norma Deguzman
Email: deguzman@nhlbi.nih.gov **Phone:** 301-496-6740 **Fax:** 301-451-5461

Program Official: Lisa Postow
Email: lisa.postow@nih.gov

SPREADSHEET SUMMARY

GRANT NUMBER: 1R01HL135613-01

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages					
Fringe Benefits					
Personnel Costs (Subtotal)					
Materials & Supplies					
Travel					
Other					
Subawards/Consortium/Contractual Costs					
Publication Costs					
TOTAL FEDERAL DC					
TOTAL FEDERAL F&A					
TOTAL COST					

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1					
F&A Cost Base 1					
F&A Costs 1					
F&A Cost Rate 2					
F&A Cost Base 2					
F&A Costs 2					