



Grant Number: 1R34MH091338-01A1

Principal Investigator(s):
MARK H POLLACK, MD

Project Title: Eszopiclone for the Treatment of PTSD

Jane Winger
Assistant Director, Fund Accounting
1700 Van Buren

Chicago, IL 60612

Award e-mailed to: Jane_Winger@rush.edu, RCTA_Research@rush.edu

Budget Period: 08/09/2011 – 06/30/2012
Project Period: 08/09/2011 – 06/30/2014

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$229,500 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to RUSH UNIVERSITY MEDICAL 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 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 R34MH091338 from the National Institute Of Mental Health. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institute Of Mental Health 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/coi/index.htm> provides additional information.

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

Sincerely yours,

Jane Z. Lin
Grants Management Officer
NATIONAL INSTITUTE OF MENTAL HEALTH

Additional information follows

SECTION I – AWARD DATA – 1R34MH091338-01A1**Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$150,000
Federal F&A Costs	\$79,500
Approved Budget	\$229,500
Federal Share	\$229,500
TOTAL FEDERAL AWARD AMOUNT	\$229,500
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$229,500

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$229,500	\$229,500
2	\$229,500	\$229,500
3	\$229,500	\$229,500

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

Fiscal Information:

CFDA Number: 93.242
EIN: 1362174823A1
Document Number: RMH091338A
Fiscal Year: 2011

IC	CAN	2011	2012	2013
MH	8472591	\$229,500	\$229,500	\$229,500

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

NIH Administrative Data:

PCC: AD-TS / OC: 414A / Processed: LINJZ 08/03/2011

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R34MH091338-01A1

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 – 1R34MH091338-01A1

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.)

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 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 provides support for one or more clinical trials. By law (Title VIII, Section 801 of Public Law 110-85), the "responsible party" must register "applicable clinical trials" on the ClinicalTrials.gov Protocol Registration System Information Website. NIH encourages registration of all trials whether required under the law or not. For more information, see http://grants.nih.gov/ClinicalTrials_fdaaa/

**Treatment of Program Income:
Additional Costs**

SECTION IV – MH Special Terms and Conditions – 1R34MH091338-01A1

RESTRICTION - HUMAN SUBJECTS:

This award is issued subject to the following special condition:

NOTICE: Under governing regulations, Federal funds administered by the Department of Health and Human Services shall not be expended for and individuals shall not be enrolled in research unless the institution has an approved Assurance of Compliance with 45 CFR 46 on file in the Office for Human Research Protections (OHRP) and the project has been reviewed and approved by the Institutional Review Board (IRB) in accordance with the requirements in 45 CFR 46.

The present award is being made without currently valid certification of IRB approval for this project with the following restriction: Only activities which do not directly involve human subjects (i.e., are clearly severable and independent from those activities that do involve human subjects) may be conducted pending acceptance by the National Institute of Mental Health (NIMH) of certification of IRB approval. The certification of IRB approval must be received no later than October 29, 2010, via email attachment to: Aleisha S. James at jamesaleisha@mail.nih.gov. Failure to comply can result in suspension and/or termination of this award or withholding of support of the continuation award. No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects in this project until NIMH has accepted the certification of IRB.

CHANGE OF GRANTEE:

This award reflects an approved change of grantee institution for the above-named grant from [institution releasing the funds] in accordance with the relinquishing e-mail dated 8/3/2011.

INITIAL BUDGET PERIOD:

Although the budget period end date for this award is 06/30/2014, this award includes funds for 12 months of support. Subsequent budget periods will begin on 06/01, and will be 12-months in duration. Allowable preaward costs may be charged to this award in accordance with the conditions outlined in the NIH Grants Policy Statement (revised October 2010) and with institutional requirements for prior approval.

NON-COMPETING RENEWAL:

As of August 1, 2010 grantees must use eSNAP for electronic submission of progress reports for all grants awarded under the SNAP authorities. Information on eSNAP can be found at <http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-093.html>.

PRIOR APPROVAL REQUESTS:

Any prior approval request should be directed to the current Grants Management Specialist named in the eRA Commons and may be sent by email (preferred) or, if necessary, by mail to the following address: Grants Management Branch, NIMH, 6001 Executive Blvd, Room 6115, MSC 9605, Bethesda, MD 20892-9605 (Express Mail: Rockville, MD 20852).

Please refer to the NIH Grants Policy Statement for the activities and/or expenditures that require NIH prior approval at http://grants.nih.gov/grants/policy/nihgps_2010/index.html.

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: Aleisha James
Email: jamesaleisha@mail.nih.gov **Phone:** 301-451-9948 **Fax:** 301-480-1956

Program Official: Farris K. Tuma
Email: FTUMA@NIH.GOV **Phone:** 301-443-3648 **Fax:** 301-443-4611

SPREADSHEET SUMMARY

GRANT NUMBER: 1R34MH091338-01A1

INSTITUTION: RUSH UNIVERSITY MEDICAL CENTER

<i>Budget</i>	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>
TOTAL FEDERAL DC	\$150,000	\$150,000	\$150,000
TOTAL FEDERAL F&A	\$79,500	\$79,500	\$79,500
TOTAL COST	\$229,500	\$229,500	\$229,500

<i>Facilities and Administrative Costs</i>	<i>Year 1</i>	<i>Year 2</i>	<i>Year 3</i>
F&A Cost Rate 1	53%	53%	53%
F&A Cost Base 1	\$150,000	\$150,000	\$150,000
F&A Costs 1	\$79,500	\$79,500	\$79,500



MENTORED PATIENT-ORIENTED RESEARCH
Department of Health and Human Services
National Institutes of Health

Notice of Award

Federal Award Date: 08/03/2018



NATIONAL INSTITUTE OF MENTAL HEALTH

Grant Number: 5K23MH103394-05
FAIN: K23MH103394

Principal Investigator(s):
Alyson Kay Zalta, PHD

Project Title: Using CBT to Probe Psychobiobehavioral Resilience to Post-trauma
Psychopathology

Jane F Winger
Manager, Grant Proposals
1653 W. Congress Parkway
Chicago, IL 606120000

Award e-mailed to: Jane_Winger@rush.edu

Period Of Performance:
Budget Period: 08/01/2018 – 07/31/2019
Project Period: 09/25/2014 – 07/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$153,790 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to RUSH UNIVERSITY MEDICAL 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 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 Institute Of Mental Health of the National Institutes of Health under Award Number K23MH103394. 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,

Heather Weiss
Grants Management Officer
NATIONAL INSTITUTE OF MENTAL HEALTH

Additional information follows

SECTION I – AWARD DATA – 5K23MH103394-05**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$72,000
Fringe Benefits	\$20,448
Personnel Costs (Subtotal)	\$92,448
Other	\$49,950

Federal Direct Costs	\$142,398
Federal F&A Costs	\$11,392
Approved Budget	\$153,790
Total Amount of Federal Funds Obligated (Federal Share)	\$153,790
TOTAL FEDERAL AWARD AMOUNT	\$153,790

AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$153,790
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
5	\$153,790	\$153,790

Fiscal Information:

CFDA Name: Mental Health Research Grants
CFDA Number: 93.242
EIN: 1362174823A1
Document Number: KMH103394A
PMS Account Type: P (Subaccount)
Fiscal Year: 2018

IC	CAN	2018
MH	8472598	\$153,790

NIH Administrative Data:

PCC: AK-TNAI1 / OC: 415P / Released: WEISSHE 08/02/2018
Award Processed: 08/03/2018 12:15:15 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5K23MH103394-05

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 – TERMS AND CONDITIONS – 5K23MH103394-05

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 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) K23MH103394. 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 provides support for one or more clinical trials. By law (Title VIII, Section 801 of Public Law 110-85), the "responsible party" must register "applicable clinical trials" on the ClinicalTrials.gov Protocol Registration System Information Website. NIH encourages registration of all trials whether required under the law or not. For more information, see http://grants.nih.gov/ClinicalTrials_fdaaa/

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 (FAPIS)). 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 – MH Special Terms and Conditions – 5K23MH103394-05

Clinical Trial Indicator: Yes

This award supports one or more NIH-defined Clinical Trials. See the NIH Grants Policy Statement

AWARD NOTICE:

This award has been made in response to the application submitted under the Funding Opportunity Announcement PA14-049 which can be referenced at: <http://grants.nih.gov/grants/guide/pa-files/PA-14-049.html>

DIRECT COSTS:

Please note that the direct costs recommended in all years are based on the NIMH Policy for Career (K) Awards as outlined in: <http://www.nimh.nih.gov/funding/training/career-development-programs-k-series.shtml>.

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: James Pugh
Email: pughjd@mail.nih.gov **Phone:** 301-435-1597 **Fax:** 301-480-1956

Program Official: Mark Chavez
Email: mchavez1@mail.nih.gov **Phone:** 301-443-8942 **Fax:** 301-480-3284

SPREADSHEET SUMMARY

GRANT NUMBER: 5K23MH103394-05

INSTITUTION: RUSH UNIVERSITY MEDICAL CENTER

Budget	Year 5
Salaries and Wages	\$72,000
Fringe Benefits	\$20,448
Personnel Costs (Subtotal)	\$92,448
Other	\$49,950
TOTAL FEDERAL DC	\$142,398
TOTAL FEDERAL F&A	\$11,392
TOTAL COST	\$153,790

Facilities and Administrative Costs	Year 5
F&A Cost Rate 1	8%
F&A Cost Base 1	\$142,398
F&A Costs 1	\$11,392