



## GRANT AGREEMENT

**Award Date:** March 26, 2015      **Grant No.:** 11

**Grantee:** Virginia Commonwealth University

**Total Grant Amount:** \$88,000

**Payment Schedule:** Full payment scheduled for distribution in May 2015

**Grant Period:** June 2015 through May 2016

**Proposal Title:** Vitamin C: A Novel Additive for Preservation of Platelets

Virginia Blood Foundation (VBF) and the Grantee are entering into this Agreement to establish the terms of a Foundation grant to the Grantee.

1. The Grantee's organization has provided the Foundation with documentation regarding the organization and its financial condition, and the project the Grantee desires to implement. The Foundation has relied on the representations and statements in these documents to award this grant. A copy of the application submitted is attached and is incorporated here by reference.
2. Grantee and Foundation have agreed to metrics by which the success of the project will be measured. A copy of the agreed upon metrics is attached and is incorporated here by reference.
3. The Grantee agrees to expend the entire Grant Amount for the purposes, projects and activities specified in the application and according to any budget provided in application or provided to the Foundation. Should the Foundation request a budget or an update to an existing budget subsequent to the award, Grantee will promptly provide the same and agrees to expend all Grant

Amounts consistent with such budget or updated budget. The Grantee will treat the Grant Amount as a restricted asset, and will keep adequate records to document the expenditure of funds and the activities and projects supported by the grant. The Grantee agrees to return to the Foundation any part of the Grant Amount which has not been spent or obligated at the end of the Grant Period and agrees to make such return within fourteen (14) days after the termination of the Grant Period. The Grantee agrees to make available to the Foundation, upon its request and at reasonable times, the financial records related to the activities and projects supported by the grant.

4. The Foundation and the Grantee may agree in writing to modify the objectives, metrics, methods, budget or timeline for the projects and activities for which grant funds have been awarded, but no such modification will be effective unless set forth in a writing executed by the Foundation.
5. The Grantee agrees to notify the Foundation about any of the following:
  - Any change in key personnel of the organization or of any project or activity funded by the grant;
  - Any change in the address or phone number for the organization or for key personnel;
  - Any development that significantly affects any project or activity funded by the Grant Amount or the organization, or threatens to impair the success or progress of any project or activity funded by the Grant Amount;
  - If the Grantee becomes insolvent or makes a general assignment for the benefit of creditors, or if a petition in bankruptcy is filed by the Grantee or such a petition is filed against and consented to by the Grantee, and;
  - If the Grantee is adjudicated bankrupt, if a receiver or other custodian (whether permanent or temporary) is appointed to manage the Grantee's business or assets, or if a proceeding to appoint such a receiver or custodian is initiated.
6. The Grantee warrants that it is currently exempt from Federal income tax and is not a private foundation, and that it has received no notice or information that the IRS determination letter it has provided the Foundation has been revoked, modified, suspended or superseded by IRS action or otherwise.

7. The Foundation may, upon notice to the Grantee, cancel the grant and its participation in any project or activity for which funds are granted, in the event the Foundation, in its sole judgment, finds that:
- The Grantee has failed to make substantial progress toward the completion of any project or activity for which the Grant Amount was awarded; or
  - The Grantee has failed to comply with the terms of this Agreement; or
  - There exists a change in circumstances indicating that successful completion of any project or activity funded by the Grant Amount is unlikely;
  - The conduct of the Grantee or the project or activity undertaken by the Grantee with the Grant Amount is likely to bring discredit upon the Foundation or is inconsistent with the Foundation's purposes and mission; or
  - Such cancellation is necessary to comply with the requirements of law; or
  - The Grantee fails or ceases to qualify as a tax-exempt entity.
- In the event of cancellation under this Paragraph, the Grantee will promptly return any unspent grant funds to the Foundation.

8. The Grantee agrees not to expend any grant funds in such a way as to constitute a taxable expenditure described in Section 4945 of the Internal Revenue Code. Without limiting the generality of the foregoing, Grantee specifically shall not spend funds:
- to carry on propaganda or otherwise attempt to influence legislation;
  - to influence the outcome of any specific public election or to carry on, directly or indirectly, any voter registration drive;
  - for any grant to an individual which does not comply with any requirement of Section 4945(d)(3) or (4); or
  - for any purpose other than one specified in Section 170(c)(2)(B) of the Code, i.e., a religious, charitable, scientific, literary or educational purpose.

9. The Grantee and the Foundation agree that the Work Product consists of the deliverables and other materials, including drafts thereof, prepared by Grantee to carry out the project funded under this Agreement. Grantee represents and warrants to the Foundation that the Work Product is the original Work Product of Grantee or of subcontractors or subgrantees, if any, and that it does not infringe any third party's intellectual property rights. Grantee acknowledges that the Foundation wishes to ensure the widest possible distribution of Work Products and ensure that they are and remain generally available to the public. Accordingly, Grantee hereby grants to the Foundation, and agrees to obtain from any subcontractors or subgrantees, a nonexclusive, irrevocable, perpetual, worldwide, royalty-free, transferable and sublicensable license for noncommercial purposes to use, display, perform, reproduce, publish, copy, archive, excerpt, distribute, create derivative works from and otherwise disseminate, in whole or in part, any or all of the Work Product. This Section shall survive the termination of this Agreement.
10. To the extent permitted by the Virginia Tort Claims Act, Code of Virginia § 8.01-195 et seq., VCU shall be responsible for the negligent acts or omissions of its officers, employees or agents arising out of its obligations under this agreement. Nothing contained herein shall constitute a waiver of the sovereign immunity of VCU or the Commonwealth of Virginia.
11. Grantee agrees to comply with Executive Order 13224 of September 23, 2001 Blocking Property and Prohibiting Transactions with Persons Who Commit, Threaten to Commit, or Support Terrorism; and with Federal law, embargoes and trade sanctions regulating international transactions, unless a court of competent jurisdiction has determined that such prohibitions are invalid.
12. Grantee agrees to promptly submit the following reports:
  - a. Final Report. The Final Report shall be submitted to the Foundation no later than 30 days after the end of the Grant Period and will include, as a minimum:
    - a description of all projects and activities that were conducted and funded by the Grant Amount;

- a description of any events that had a significant effect on any project or activity; and
  - an evaluation of each project and activity, including an assessment of whether the purposes for the grant were accomplished.
  - An evaluation of the metrics incorporated into this Agreement.
- b.  If this the block is checked, Grantee shall also provide an Interim Report of this Agreement which includes, as a minimum:
- a description of projects or activities funded by the Grant Amount that have taken place to date;
  - a description of any events that have had a significant effect on any project or activity; and
  - an evaluation of each project and activity to date, including an assessment of the progress made in accomplishing the purposes for which the Grant was given and an evaluation of whether the purposes will be achieved.
  - An evaluation of the metrics incorporated into this Agreement.

13. The Grantee agrees to appropriately credit the participation of the Foundation in any advertisement, publicity or public comment related to the project for which funds are granted. The Grantee will allow the Foundation to review and approve the text of any proposed publicity concerning this grant prior to release. The Grantee agrees to appropriately credit the participation of the Foundation in any publication arising out of or resulting from the Grantees use of the grant funds provided by the Foundation.

14. The Foundation agrees to forward the Grant Amount by check to the Grantee within 30 days of the signing of this Agreement.

15. This Agreement shall be governed by, construed, and enforced in accordance with the laws of the Commonwealth of Virginia without regard to the principles of conflicts laws. Any action arising out of or related to this Agreement shall be brought before the state or federal courts serving Henrico County, Virginia and each of the parties agrees that such courts may exercise personal jurisdiction over such party for such an action.

On behalf of Grantee, I understand and agree to the foregoing terms and conditions of the Virginia Blood Foundation grant, and hereby certify my authority to execute this agreement on the Grantee's behalf.

Signature: Andrea J. Publow

Printed Name: \_\_\_\_\_ Andrea J. Publow, CRA, MFA  
VCU Director of Sponsored Programs  
Government/NonProfit Support \_\_\_\_\_

Title: \_\_\_\_\_

Date: 5/6/15

Agreed and accepted on behalf Virginia Blood Foundation:

Robert E. Carden  
Robert E. Carden, Ph.D.  
President and CEO

Date: 5.17.15

PT111905



**GRANT AGREEMENT - Metrics**

**Award Date:** March 26, 2015    **Grant No.:** 11    **Grant Period:** June 2015 through May 2016

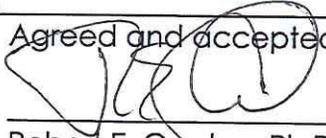
**Grantee:** Virginia Commonwealth University

**Proposal Title:** Vitamin C: A Novel Additive for Preservation of Platelets

**Primary Contact:** Kim Sanford, M.D.    **Phone:** 804-828-2745    **Email:** ksanford@mcvh-vcu.edu

Objective	Metric	Deliverable	Expected Delivery Date(s)
To determine the usefulness of high dose vitamin C for preservation of platelet function in stored platelet concentrates.	Add saline or vitamin C (0.3mM and 3.0mM) to platelet units (10 units per quarter). Perform analysis of platelet function using flow cytometry, TEG, platelet aggregation studies and mass spec on platelets that were stored with and without vitamin C additive solution on day 0, 2, 5 and 8	Complete the analysis for 10 units per quarter with the goal to complete the analysis for 30 units within 3 quarters	Complete the platelet analysis and submit a summary report of our findings to VBF before May 31, 2016

Agreed and accepted:

  
 \_\_\_\_\_  
 Robert E. Carden, Ph.D.  
 President and CEO  
 Virginia Blood Foundation

Date: 5.18.15

  
 \_\_\_\_\_  
 Signature

Date: 5/8/15

Kimberly W. Sanford  
 \_\_\_\_\_  
 Name/Title (Printed)  
 Virginia Commonwealth University



**Application Number:** 1I01BX001792-01A1

**Principal Investigator(s):**  
CHARLES E CHALFANT, PHD

**Project Title:** The Role of Caspase 9b Expression in NSCLC Survival/Chemotherapeutic Sensitivity

Mr. Dresch, Robert  
Hunter Holmes McQuire Medical  
1201 Broad Rock Blvd.  
Richmond, VA 232490001

We are pleased to inform you that funding in the amount of \$150,000 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) is being considered to support the above named project at VA VETERANS ADMINISTRATION HOSPITAL.

This is not an indication, however, of the final award. For some ORD Research & Development Services, the budget in Section I reflects the recommendations of the review panel and other administrative changes; for other R&D Services, the budget reflects what was requested in the application.

Budget negotiations may occur as part of the JIT process. Because we may not yet have a fiscal year budget and all just-in-time (JIT) issues have not been resolved, project start dates are uncertain. We will attempt to maintain continuity for ongoing programs, but negotiation of start dates will not begin until all required JIT documentation has been approved. Please note that, as always, funding is dependent upon the availability of funds.

A final Notice of Award will be issued after all JIT issues have been resolved and all budget negotiations are completed. Refusal of this award must be communicated to the appropriate representative of the ORD Research & Development Service named above.

Each publication, press release or other document that cites results from VA-supported research must include an acknowledgment of VA support and disclaimer (e.g., "The project described was supported by Award Number I01BX007080 from the Biomedical Laboratory Research & Development Service of the VA Office of Research and Development").

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

Additional information follows

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**SECTION I – PROPOSED AWARD DATA – 1I01BX001792-01A1****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$88,768
Personnel Costs (Subtotal)	\$88,768
Other Costs	\$61,232

**TOTAL PROPOSED AWARD AMOUNT** \$150,000

SUMMARY OF PROPOSED TOTALS FOR ALL YEARS	
YR	THIS AWARD
1	\$150,000
2	\$150,000
3	\$150,000
4	\$150,000

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

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**SECTION II – CONTACT INFORMATION – 1I01BX001792-01A1**

The Scientific Review Officer (SRO) named below is responsible for the determination of the proposed budget shown in Section I above. This budget may reflect recommendations of the reviewers, as well as administrative changes needed to meet the requirements of the awarding ORD Research and Development Service. Initial inquiries about the proposed budget should be directed to:

**SRO:** Ralph Paxton  
**Email:** ralph.paxton@va.gov **Phone:** 202 461-1663

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**SECTION III – TERMS AND CONDITIONS – 1I01BX001792-01A1**

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

- a. All awards are dependent upon the availability of funds.
- b. Funding is contingent upon the review and approval of JIT compliance documentation and resolution of any administrative issues. Remember that all information provided must be current and that documentation, including proposal title and principal investigator name, must correspond exactly to the work described in the application. Please complete JIT documentation as soon as possible.
- c. Award recipients are responsible to ensure that VA is properly acknowledged on all public reports and presentations. Failure to acknowledge VA affiliation and support may result in termination of the award. For additional information, please refer to [http://www1.va.gov/vhapublications/ViewPublication.asp?pub\\_ID=361](http://www1.va.gov/vhapublications/ViewPublication.asp?pub_ID=361).
- d. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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**SECTION IV – BX Special Terms and Conditions – 1I01BX001792-01A1**

Personnel Costs (Subtotal) in Section I above include Salary and Fringe Benefits for the PI and all other individuals named in the budget section of the application. If not listed separately, Fringe benefits are included in Salaries and Wages.

This award is subject to all budgetary constraints/limits described in the VA SF-424 Application Guide and the specific RFA to which this application was submitted.

All funded interventional clinical trials must be registered in ClinicalTrials.gov before funds can be released, and certification must be received from the Facility Director that appropriate resources will be provided for oversight.

Award recipients are responsible for reporting inventions derived in the performance of work under this project. For additional information, please refer to [http://www.va.gov/vhapublications/ViewPublication.asp?pub\\_ID=403](http://www.va.gov/vhapublications/ViewPublication.asp?pub_ID=403).

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Notice of Award

RESEARCH PROJECT COOPERATIVE AGREEMENT  
Federal Award Date: 09/17/2015

Department of Health and Human Services  
National Institutes of Health

EUNICE KENNEDY SHRIVER NATIONAL INSTITUTE OF CHILD HEALTH & HUMAN  
DEVELOPMENT

Grant Number: 1U01HD087198-01  
FAIN: U01HD087198

Principal Investigator(s):  
CHARLES E CHALFANT (contact), PHD  
SCOTT W WALSH, PHD  
Dayanjan Shanaka Wijesinghe, PHD

Project Title: The utilization of photonics technology to rapidly  
detect bioactive lipids associated with preeclampsia development

Publow, Andrea J  
Dir, OSP  
800 East Leigh St, Suite 3200  
PO Box 980568  
Richmond, VA 232980568

Award e-mailed to: ospaward@vcu.edu

Period Of Performance:  
Budget Period: 09/17/2015 ??? 08/31/2019  
Project Period: 09/17/2015 ??? 08/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the  
amount of \$4,228,935 (see ???Award Calculation??? in Section I  
and ???Terms and Conditions??? in Section III) to VIRGINIA  
COMMONWEALTH UNIVERSITY in support of the above referenced  
project. This award is pursuant to the authority of 42 USC 241  
31 USC 6305 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 [redacted] Terms and Conditions [redacted] 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 [redacted] Research reported in this publication was supported by the Eunice Kennedy Shriver National Institute Of Child Health & Human Development of the National Institutes of Health under Award Number U01HD087198. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health. [redacted] 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 [redacted]'s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. [redacted] 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,

Bonnie J. Jackson  
Grants Management Officer  
EUNICE KENNEDY SHRIVER NATIONAL INSTITUTE OF CHILD HEALTH & HUMAN DEVELOPMENT

Additional information follows

SECTION I   AWARD DATA   1U01HD087198-01

Award Calculation (U.S. Dollars)

Salaries and Wages	\$1,909,440
Fringe Benefits	\$430,636
Personnel Costs (Subtotal)	\$2,340,076
Supplies	\$254,479
Travel Costs	\$33,055
Other Costs	\$181,086

Federal Direct Costs

\$2,808,696

Federal F&A Costs

\$1,420,239

Approved Budget

\$4,228,935

Total Amount of Federal Funds Obligated (Federal Share)

\$4,228,935

TOTAL FEDERAL AWARD AMOUNT

\$4,228,935

AMOUNT OF THIS ACTION (FEDERAL SHARE)

\$4,228,935

SUMMARY TOTALS FOR ALL YEARS

YR

THIS AWARD

CUMULATIVE TOTALS

1

\$4,228,935

\$4,228,935

Fiscal Information:

CFDA Name:

Child Health and Human Development Extramural Research

CFDA Number:

93.865

EIN:

1546001758A1

Document Number:

UHD087198A

PMS Account Type:

P (Subaccount)

Fiscal Year:

2015

IC

CAN

2015

HD

8014702  
\$45,455  
OD  
8019857  
\$4,183,480

NIH Administrative Data:

PCC: PPB -PB / OC: 414L / Released: SMITHB 09/14/2015

Award Processed: 06/15/2015 11:31:44 PM

SECTION II **???** PAYMENT/HOTLINE INFORMATION **???** 1U01HD087198-01

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 **???** 1U01HD087198-01

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).

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

This grant is excluded from Streamlined Noncompeting Award Procedures (SNAP).

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 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) U01HD087198. 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 expiration 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, R13, R25, S10.

Unless an application for competitive renewal is submitted, a final progress report must also be submitted within 120 days of the expiration date. Instructions for preparing a Final Progress Report are at: <http://grants.nih.gov/grants/funding/finalprogressreport.pdf>. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the final progress report. 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, but will accept an email or hard copy submission as indicated below.

Email: The final progress report and final invention statement may be e-mailed as PDF attachments to: [NIHCloseoutCenter@mail.nih.gov](mailto:NIHCloseoutCenter@mail.nih.gov).

Hard copy: Paper submissions of the final progress report and 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 Progress Report 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.

This award is funded by the following list of institutes. Any papers published under the auspices of this award must cite the funding support of all institutes.

Eunice Kennedy Shriver National Institute Of Child Health & Human Development (NICHD)

Office Of The Director, National Institutes Of Health (OD)

Treatment of Program Income:  
Additional Costs

SECTION IV    HD Special Terms and Conditions     
1U01HD087198-01

This award is funded at a total cost ceiling of \$4,228,935.    
Funds   may be rebudgeted as necessary between direct and facilities and administrative costs consistent with policy and institutional requirements for prior approval; however, no additional funds will be provided.

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In accordance with the NICHD FY2015 fiscal policy, escalation on recurring costs has been removed.

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No award funds shall be used to pay the salary of an individual at a rate in excess of the current salary cap. Therefore, this award and/or future years are adjusted accordingly. See NIH Guide Notice NOT-OD-15-049 for more information (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-049.html>).

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The grantee is required to follow the Multiple Principal Investigator Leadership Plan included in the application dated 06/01/2015, and may not implement any changes in the plan without the written prior approval of NICHD.

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Although the signatures of all PIs are not required on prior approval requests submitted to NICHD, the grantee institution must secure and retain the signatures of all of PIs within their own internal processes. See NIH Guide Notice NOT-OD-06-054 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-054.html>).

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This award is issued as a cooperative agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the terms and conditions of award as set forth in the SPECIAL REQUIREMENTS section of RFA-HD-15-034, ◆◆◆◆ DEVELOPING PARADIGM-SHIFTING INNOVATIONS FOR IN VIVO HUMAN PLACENTAL ASSESSMENT IN RESPONSE TO ENVIRONMENTAL INFLUENCES (U01), ◆◆◆◆ posted date: ◆◆ February 26, 2015, which are hereby incorporated by reference as special terms and conditions of award.

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Copies of this RFA are available at <http://www.nih.gov/grants/guide/index.html>

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#### 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: Bonnie J. Jackson  
Email: jacksobo@mail.nih.gov

Program Official: David H. Weinberg  
Email: David.Weinberg@nih.gov Phone: 301-435-6973 Fax: 301-402-4104

SPREADSHEET SUMMARY  
GRANT NUMBER: 1U01HD087198-01

INSTITUTION: VIRGINIA COMMONWEALTH UNIVERSITY

Budget  
Year 1  
Salaries and Wages  
\$1,909,440  
Fringe Benefits  
\$430,636  
Personnel Costs (Subtotal)  
\$2,340,076  
Supplies  
\$254,479  
Travel Costs  
\$33,055  
Other Costs  
\$181,086  
TOTAL FEDERAL DC  
\$2,808,696  
TOTAL FEDERAL F&A  
\$1,420,239  
TOTAL COST  
\$4,228,935

Facilities and Administrative Costs  
Year 1  
F&A Cost Rate 1  
52.5%  
F&A Cost Base 1  
\$2,705,217  
F&A Costs 1  
\$1,420,239

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NIH NGA R | Version: 1 - 06/15/2015 23:32:00 | Generated on:  
9/17/2015 12:04:42 AM

Grant Number: 1S10OD010641-01A1

Principal Investigator(s):  
CHARLES E CHALFANT, PHD

Project Title: AB SCIE X 5500 QTRAP Mass Spectrometer for Lipidomics and Metabolomics Research

Robb, Susan  
Asst VP for Research Administration  
Virginia Commonwealth University  
Office of Sponsored Programs  
800 East Leigh Street, Suite 113  
Richmond, VA 232980568

Award e-mailed to: ospaward@vcu.edu

Budget Period: 05/08/2012 - 05/07/2013  
Project Period: 05/08/2012 - 05/07/2013

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$577,832 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to VIRGINIA COMMONWEALTH UNIVERSITY 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 Office Of The Director, National Institutes Of Health of the National Institutes of Health under Award Number S10OD010641. 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 42 CFR Part 50 Subpart F. Subsequent to the compliance date of the 2011 revised FCOI regulation (i.e., on or before August 24, 2012), Awardees must be in compliance with all aspects of the 2011 revised regulation; until then, Awardees must comply with the 1995

regulation. 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,

Tiffany Walker  
Grants Management Officer  
OFFICE OF THE DIRECTOR, NATIONAL INSTITUTES OF HEALTH

Additional information follows  
SECTION I - AWARD DATA - 1S10OD010641-01A1

Award Calculation (U.S. Dollars)  
Equipment \$577,832

Federal Direct Costs  
\$577,832  
Approved Budget  
\$577,832  
Federal Share  
\$577,832  
TOTAL FEDERAL AWARD AMOUNT  
\$577,832

AMOUNT OF THIS ACTION (FEDERAL SHARE)  
\$577,832

SUMMARY TOTALS FOR ALL YEARS  
YR  
THIS AWARD  
CUMULATIVE TOTALS

1  
\$577,832  
\$577,832

Fiscal Information:  
CFDA Number:  
93.351  
EIN:  
1546001758A1  
Document Number:

SOD010641A  
Fiscal Year:  
2012

IC  
CAN  
2012  
OD  
8012532  
\$577,832

NIH Administrative Data:  
PCC: BIG20 / OC: 415A / Processed: WALKERTI 05/02/2012

SECTION II - PAYMENT/HOTLINE INFORMATION - 1S10OD010641-01A1

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 - 1S10OD010641-01A1

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:

- 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 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

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.

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. 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](mailto: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 - OD Special Terms and Conditions - 1S10OD010641-01A1

This award is subject to the conditions set forth in PAR-11-081 "Shared Instrumentation Grant Program" 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/pa-files/PAR-11-081.html>

This award is based upon the grantee's updated quoted dated March 12, 2012.

This award is issued in accordance with the NIH fiscal policies described in NIH Guide Notice OD-12-036.

A Final Progress report is required that describes the instrument purchased, and a list of all users and description of the value of the instrument to the investigators and to the institution as a whole.

This report is needed by the NIH for program and for informing the public, administrative and Congressional officials about the research resources it supports.

A final progress report is due no later than 90 days after the expiration of the grant. Please prepare the report as instructed below:

1 . List identifying data items in the following format:

Grant No. 1 S10 OD 010641-01A1  
Principal Investigator: (Name, Institution, Department, Address)  
Funding Period:  
Name of Instrument: (including manufacturer, model)  
Total Purchase Cost:  
Total ORIP Award:  
Other Sources of Funding: (if possible)  
Narrative (use additional pages if necessary)

2. Describe the shared instrumentation purchased, its usage and its impact on the research community, specifically the NIH funded users.

3. Describe the administration, operation, and plans for the maintenance of the instrument.

4. Describe (in language understandable to the lay public) any research accomplishments resulting from the use of the instrumentation. Explain the developments in terms of their contributions to new knowledge and potential for the improvement of human health. Provide references to publications, if available.

5. Include any other additional information, which you would consider useful to the NIH.

If the grantee plans to issue a press release concerning the outcome of NIH/OD/ORIP grant-supported research, it should notify the Program Official in advance to allow for coordination.

The NIH/OD/ORIP WWW home page is at <http://dpcpsi.nih.gov/orip/>

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: Shannon Oden  
Email: odens@mail.nih.gov Phone: 301.435.0844 Fax: 301-480-3777

Program Official: Abraham Levy  
Email: levyabra@mail.nih.gov Phone: 301-435-0772 Fax: 301-480-3659

SPREADSHEET SUMMARY

GRANT NUMBER: 1S10OD010641-01A1

INSTITUTION: VIRGINIA COMMONWEALTH UNIVERSITY

Budget  
Year 1  
Equipment  
\$577,832  
TOTAL FEDERAL DC  
\$577,832  
TOTAL FEDERAL F&A

TOTAL COST  
\$577,832



Notice of Award

RESEARCH

Federal Award Date: 08/05/2016

Department of Health and Human Services  
National Institutes of Health

NATIONAL HEART, LUNG, AND BLOOD INSTITUTE

Grant Number: 5R01HL125353-03

FAIN: R01HL125353

Principal Investigator(s):

RHODERICK E BROWN, PHD

CHARLES E CHALFANT (contact), PHD

EDWARD H HINCHCLIFFE, PHD

DINSHAW J PATEL, PHD

Project Title: The functional role of the cPLA2alpha/C1P  
interaction in sepsis resolution

Ms. Andrea Publow  
Administrative Official  
Virginia Commonwealth University  
PO BOX 980568  
Richmond, VA 23298

Award e-mailed to: ospaward@vcu.edu

Period Of Performance:

Budget Period: 06/01/2016  05/31/2017

Project Period: 09/15/2014  05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$791,472 (see  Award Calculation  in Section I and  Terms and Conditions  in Section III) to VIRGINIA COMMONWEALTH UNIVERSITY 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 [redacted] Terms and Conditions [redacted] 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 [redacted] Research reported in this publication was supported by the National Heart, Lung, and Blood Institute of the National Institutes of Health under Award Number R01HL125353. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health. [redacted] 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 [redacted]s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. [redacted] 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,

Jennifer J Cho  
Grants Management Officer  
NATIONAL HEART, LUNG, AND BLOOD INSTITUTE

Additional information follows

SECTION I    AWARD DATA    5R01HL125353-03

Award Calculation (U.S. Dollars)

Salaries and Wages	\$94,260	
Fringe Benefits	\$16,099	
Personnel Costs (Subtotal)	\$110,359	
Materials & Supplies	\$39,572	
Travel	\$4,000	
Other	\$16,064	
Subawards/Consortium/Contractual Costs		\$532,230

Federal Direct Costs

\$702,225

Federal F&A Costs

\$89,247

Approved Budget

\$791,472

Total Amount of Federal Funds Obligated (Federal Share)

\$791,472

TOTAL FEDERAL AWARD AMOUNT

\$791,472

AMOUNT OF THIS ACTION (FEDERAL SHARE)

\$791,472

SUMMARY TOTALS FOR ALL YEARS

YR

THIS AWARD

CUMULATIVE TOTALS

3

\$791,472

\$791,472

4

\$791,472

\$791,472

5

\$791,472

\$791,472

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

Fiscal Information:

CFDA Name:

Blood Diseases and Resources Research

CFDA Number:

93.839

EIN:

1546001758A1

Document Number:  
RHL125353A  
PMS Account Type:  
P (Subaccount)  
Fiscal Year:  
2016

IC  
CAN  
2016  
2017  
2018  
HL  
8475152  
\$791,472  
\$791,472  
\$791,472

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

NIH Administrative Data:  
PCC: BBHT N / OC: 414E / Released: CHOJ01 08/01/2016  
Award Processed: 08/05/2016 01:11:46 AM

SECTION II **???** PAYMENT/HOTLINE INFORMATION **???** 5R01HL125353-03

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 **???** 5R01HL125353-03

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).

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

This grant is excluded from 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) R01HL125353. 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    
5R01HL125353-03

NHLBI OPERATING GUIDELINES

This award is being issued in accordance with the NHLBI FY 2016 Operating Guidelines, which can be found at:

<https://www.nhlbi.nih.gov/research/funding/general/current-operating-guidelines>



MULTIPLE PI - Prior Approvals

In keeping with NOT-OD-06-054

(<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-054.html>), as this grant has multiple Principal Investigators (PIs), although the signatures of the PIs are not required on prior approval requests submitted to the agency, the grantee institution must secure and retain the signatures of all of the PIs within their own internal processes.



RFA NOTICE

The Terms and Conditions of this award incorporate the operating guidelines in the RFA HL14-028, (Blood and Vascular Systems Response to Sepsis), which can be found at:

<http://grants.nih.gov/grants/guide/rfa-files/RFA-HL-14-028.html>



MULTIPLE PI - Prior Approvals

In keeping with NOT-OD-06-054

(<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-06-054.html>), as this grant has multiple Principal Investigators (PIs), although the signatures of the PIs are not required on prior approval requests submitted to the agency, the grantee institution must secure and retain the signatures of all of the PIs within their own internal processes.



CONSORTIUM/CONTRACTUAL COSTS

This award includes funds awarded for consortium activity with Sloan Kettering Institute for Cancer Research and the University of Minnesota. The grantee, 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 grantee, as specified in the NIH Grants Policy Statement. In general, the requirements that apply to the grantee, including the intellectual property requirements also apply to consortium participants. The intellectual property requirements also apply to consortium participants.

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: Renee Livshin  
Email: livshinr@nhlbi.nih.gov Phone: 301-435-0174 Fax: 301-451-5462

Program Official: Rita Sarkar  
Email: sarkarr@nhlbi.nih.gov Phone: 301-435-1324 Fax: 301-480-1046

SPREADSHEET SUMMARY

GRANT NUMBER: 5R01HL125353-03

INSTITUTION: VIRGINIA COMMONWEALTH UNIVERSITY

Budget  
Year 3  
Year 4  
Year 5  
Salaries and Wages  
\$94,260  
\$94,260  
\$94,260  
Fringe Benefits  
\$16,099  
\$16,099  
\$16,099  
Personnel Costs (Subtotal)  
\$110,359

\$110,359  
\$110,359  
Materials & Supplies  
\$39,572  
\$39,572  
\$39,572  
Travel  
\$4,000  
\$4,000  
\$4,000  
Other  
\$16,064  
\$16,064  
\$16,064  
Subawards/Consortium/Contractual Costs  
\$532,230  
\$532,230  
\$532,230  
TOTAL FEDERAL DC  
\$702,225  
\$702,225  
\$702,225  
TOTAL FEDERAL F&A  
\$89,247  
\$89,247  
\$89,247  
TOTAL COST  
\$791,472  
\$791,472  
\$791,472

Facilities and Administrative Costs

Year 3  
Year 4  
Year 5  
F&A Cost Rate 1  
52.5%  
52.5%  
52.5%  
F&A Cost Base 1  
\$169,995  
\$169,995  
\$169,995  
F&A Costs 1  
\$89,247  
\$89,247  
\$89,247



NATIONAL CANCER INSTITUTE

**Grant Number:** 4P30CA016059-35  
**FAIN:** P30CA016059

**Principal Investigator(s):**  
GORDON D. GINDER, MD

**Project Title:** Massey Cancer Center Support Grant

ASST VP FOR RESEARCH ADMIN  
VIRGINIA COMMONWEALTH UNIVERSITY  
SPONSORED PROGRAMS ADMIN  
PO BOX 980568  
RICHMOND, VA 232980568

**Award e-mailed to:** ospaward@vcu.edu

**Period Of Performance:**

**Budget Period:** 05/01/2016 – 04/30/2017

**Project Period:** 12/01/1978 – 04/30/2017

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$2,134,146 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to VIRGINIA COMMONWEALTH UNIVERSITY 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 Cancer Institute of the National Institutes of Health under Award Number P30CA016059. 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,

Tawana McKeither  
Grants Management Officer  
NATIONAL CANCER INSTITUTE

Additional information follows

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**SECTION I – AWARD DATA – 4P30CA016059-35****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$815,482
Fringe Benefits	\$296,018
Personnel Costs (Subtotal)	\$1,111,500
Consultant Services	\$19,500
Materials & Supplies	\$15,000
Travel	\$19,000
Other	\$235,000

Federal Direct Costs	\$1,400,000
Federal F&A Costs	\$734,146
Approved Budget	\$2,134,146
Total Amount of Federal Funds Obligated (Federal Share)	\$2,134,146
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$2,134,146</b>

<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$2,134,146</b>
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
35	\$2,134,146	\$2,134,146

**Fiscal Information:**

**CFDA Name:** Cancer Centers Support Grants  
**CFDA Number:** 93.397  
**EIN:** 1546001758A1  
**Document Number:** PCA016059K  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2016

IC	CAN	2016
CA	8423165	\$2,134,146

**NIH Administrative Data:**

**PCC:** 2IMD / **OC:** 415E / **Released:** MCKEITHET 05/12/2016  
**Award Processed:** 05/13/2016 12:06:08 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 4P30CA016059-35**

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

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**SECTION III – TERMS AND CONDITIONS – 4P30CA016059-35**

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 award was issued as a non-competing continuation with a change in document number. This change was made solely to accommodate the HHS mandate to transition award payments to Payment Management System (PMS) subaccounts. Expenses for the project period should be treated as if this were a non-competing continuation award (e.g. Type 5). A Subaccount Transitional Federal Financial Report (FFR) is required for the previous budget periods to complete the transition. Recipients must use the SF-425 as they would for an interim or annual FFR and enter “Subaccount Transitional FFR” in box 12. This report covers grant funds in the pooled account and is used by NIH to end the grant’s association with the pooled PMS payment account and transition award payments to the PMS subaccount established for the grant, including transferring any carryover funds and unliquidated obligations remaining in the pooled account. It is due within 90 days of the end of the calendar quarter in which the last budget period prior to this NoA ended. For more information, please refer to Notice [NOT-OD-15-105](#)**

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

This grant is excluded from 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) P30CA016059. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is not subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170.

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/](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 expiration 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, R13, R25, S10.

Unless an application for competitive renewal is submitted, a final progress report must also be submitted within 120 days of the expiration date. Instructions for preparing a Final Progress Report are at: <http://grants.nih.gov/grants/funding/finalprogressreport.pdf>. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the final progress report. 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, but will accept an email or hard copy submission as indicated below.

Email: The final progress report and final invention statement may be e-mailed as PDF attachments to: [NIHCloseoutCenter@mail.nih.gov](mailto:NIHCloseoutCenter@mail.nih.gov).

Hard copy: Paper submissions of the final progress report and 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 Progress Report 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

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**SECTION IV – CA Special Terms and Conditions – 4P30CA016059-35**

**REQUIREMENT:** The awardee is required to adhere to the Cancer Center Support (CCSG) Guidelines (<http://cancercenters.cancer.gov/>).

**REQUIREMENT:** In accordance with the January 8, 2013 letter from the NCI deputy Director for Clinical and Translational Research, the Virginia Commonwealth University is required to report all interventional trials supported in whole or in part by this award into the Clinical Trials Reporting Program (CTRP) database. This requirement includes externally peer-reviewed, institutional and industrial trials that utilize the supporting infrastructure of the NCI funded Cancer Center.

**REQUIREMENT:** The requirements contained in the document, "Intellectual Property Option to Collaborator," are incorporated by reference as a condition of this award. The "Intellectual Property Option to Collaborator" document may be accessed at [http://ctep.cancer.gov/industryCollaborations2/docs/Intellectual\\_Property\\_Option\\_to\\_Collaborator\\_s.doc](http://ctep.cancer.gov/industryCollaborations2/docs/Intellectual_Property_Option_to_Collaborator_s.doc) or may be obtained from the Regulatory Affairs Branch, Cancer Therapy Evaluation Program, Division of Cancer Treatment and Diagnosis, NCI at (240) 276-6580.

**REQUIREMENT:** The awardee is required to follow the data and safety monitoring plan submitted in the Application and may not implement any changes in the plan without the written prior approval of the NCI.

**INFORMATION:** The Virginia Commonwealth University has not been approved as an NCI-designated Comprehensive Cancer Center in accordance with the NCI guidelines. Therefore, the Center may not use the NCI logo nor describe themselves as NCI-designated Comprehensive Cancer Center.

**INFORMATION:** This project involves hazardous or potentially hazardous agents. Attention is called to the Health and Safety Regulations and Guidelines (Section 4.1.12) of the [NIH Grants Policy Statement](#).

**INFORMATION:** This award involves Human Subjects Research. See "Assurance Requirements and Institutional Review Boards" under Part II, Subpart A, Human Subjects, in the [NIH Grants Policy Statement](#), for specific requirements and grantee responsibilities related to the protection of human subjects, which are applicable to and are a term and condition of this award.

This award reflects the National Cancer Institute's acceptance of the certification that all key personnel have completed education on the protection of human subjects, in accordance the [NIH Grants Policy Statement](#), "Education in the Protection of Human Research Subjects."

Any individual involved in the design and conduct of the study that is not included in the certification must satisfy this requirement prior to participating in the project. Failure to comply can result in the suspension and/or termination of this award, withholding of support of the continuation award, audit disallowances, and/or other appropriate action.

**INFORMATION:** NCI staff has determined that the application as submitted is within the approved scope of work. This non-competing award has been made at a level based on the amounts indicated in the previous Notice of Award, as adjusted per National Cancer Institute's Fiscal Year 16 funding policy. Funds may be rebudgeted between direct costs and F&A costs, consistent with 2 CFR 200, institutional requirements for prior approval and NIH policy requirements for prior approval.

## 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:** Aida Vasquez  
**Email:** vasquez@mail.nih.gov **Phone:** (240) 276-6319

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 4P30CA016059-35

**INSTITUTION:** VIRGINIA COMMONWEALTH UNIVERSITY

Budget	Year 35
Salaries and Wages	\$815,482
Fringe Benefits	\$296,018
Personnel Costs (Subtotal)	\$1,111,500
Consultant Services	\$19,500
Materials & Supplies	\$15,000
Travel	\$19,000
Other	\$235,000
TOTAL FEDERAL DC	\$1,400,000
TOTAL FEDERAL F&A	\$734,146
TOTAL COST	\$2,134,146

Facilities and Administrative Costs	Year 35
F&A Cost Rate 1	52.5%
F&A Cost Base 1	\$1,398,373
F&A Costs 1	\$734,146

Date: FEB 11 2014

From: Acting Director, Biomedical Laboratory Research & Development Service (10P9B)

Subj: Research Career Scientist Appointment

To: Director, Hunter Holmes McGuire VA Medical Center, Richmond, VA (652)

1. The Biomedical Laboratory and Clinical Science Research Career Scientist Evaluation Committee has recommended the renewal of the Research Career Scientist (RCS) appointment of Charles E. Chalfant, Ph.D. at the Research Career Scientist level. I fully concur with the committee's recommendation.
2. The appointment is for a five-year time period, beginning April 1, 2014 and ending March 31, 2019. A mid-term report is due on September 1, 2016. At that time we expect to see strong research productivity; active collaborations with other VA investigators; active mentoring and training of junior investigators; leadership roles on local VA committees and VA Merit Review Panels or other national advisory panels.
3. The due date for submitting an application for renewal will be **September 1, 2018**.
4. Dr. Chalfant and the Research Office are reminded of their responsibility to ensure that the VA affiliation and support are acknowledged on all public reports and presentations, as well as on their professional C.V. This includes publications, presentations, media interviews, and other professional activities in which the results of research are formally presented. For further details, please refer to VHA Handbook 1200.19 (dated September 17, 2008).
5. Before funds can be released, Just-In-Time documentation must be submitted by the JIT Station Administrator and approved by ORD. Just-In-Time processing will be managed on the VA JIT website and your JIT Station Administrator will be notified by email when the project is available for uploads.
6. If you have any questions regarding this memorandum, please contact Kimberlee Potter, Ph.D., at [kimberlee.potter@va.gov](mailto:kimberlee.potter@va.gov) or (202) 443-5706.
7. Please convey my sincere congratulations to Dr. Chalfant.



Ronald M. Przygodzki, M.D.

cc: Kimberlee Potter, Ph.D.  
Sara Clark