



**Grant Number:** 1R01CA170357-01

**Principal Investigator(s):**  
LISA Alyn BOARDMAN, MD

**Project Title:** Time lapse to cancer: defining transition from polyp to colorectal cancer (PQ14)

Mr. Lynch, David E.  
Institutional Official  
200 First Street SW  
Rochester, MN 559050001

**Award e-mailed to:** researchadmin@mayo.edu

**Budget Period:** 09/18/2012 – 06/30/2013  
**Project Period:** 09/18/2012 – 06/30/2016

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$654,094 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to MAYO CLINIC 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 R01CA170357. 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,

Nicholas Mitrano  
Grants Management Officer  
NATIONAL CANCER INSTITUTE

Additional information follows

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**SECTION I – AWARD DATA – 1R01CA170357-01****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$223,869
Fringe Benefits	\$65,775
Other Costs	\$121,736

Federal Direct Costs	\$411,380
Federal F&A Costs	\$242,714
Approved Budget	\$654,094
Federal Share	\$654,094
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$654,094</b>

<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$654,094</b>
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$654,094	\$654,094
2	\$644,837	\$644,837
3	\$632,324	\$632,324
4	\$629,006	\$629,006

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

**Fiscal Information:**

CFDA Number:	93.394
EIN:	1416011702A1
Document Number:	RCA170357A
Fiscal Year:	2012

IC	CAN	2012	2013	2014	2015
CA	8479566	\$654,094	\$644,837	\$632,324	\$629,006

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

**NIH Administrative Data:**

PCC: 8SDR / OC: 414A / Processed: MITRANON 09/13/2012

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01CA170357-01**

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

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**SECTION III – TERMS AND CONDITIONS – 1R01CA170357-01**

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

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

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

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.

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/>.

**Treatment of Program Income:**  
Additional Costs

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**SECTION IV – CA Special Terms and Conditions – 1R01CA170357-01**

INFORMATION: This award, including the budget and the budget period, has been discussed between Arina V. Kramer of the National Cancer Institute and David E. Lynch of the Mayo clinic on 08/15/2012.

INFORMATION: In accordance with the National Cancer Institute's (NCI's) Fiscal Year (FY) 2012 funding policies, this award has been issued at 83% of the adjusted requested level\*. Support recommended for future years has been adjusted accordingly.

\*adjusted requested level: The requested level of support with adjustments made in accordance with the budget narrative in the summary statement, applicable grant policies, and in accordance with the NIH Guide Notice OD-12-036 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-036.html>) .

Spreadsheets used to calculate this award are available upon request.

INFORMATION: Future year total cost commitments appearing on the award notice under "Recommended Future Year Total Cost Support" have been calculated by applying the negotiated facilities and administrative cost rate(s) in effect at the time of this FY 2012 award to the committed total direct cost level for each future year.

INFORMATION: Although the budget period start date for this award is 09/18/2012, this award includes funds for twelve months of support. Future year budget periods will cycle on 07/01. Allowable preaward costs may be charged to this award, in accordance with the conditions in the NIH Grants Policy Statement, (October 2011), and with institutional requirements for prior approval. The NIH GPS can be found at [http://grants.nih.gov/grants/policy/nihgps\\_2011/nihgps\\_ch7.htm#preaward\\_preagreement\\_costs](http://grants.nih.gov/grants/policy/nihgps_2011/nihgps_ch7.htm#preaward_preagreement_costs)

INFORMATION: In order to redistribute awards more evenly throughout the year, budget periods are being adjusted. In accordance with the notification from (Arina V. Kramer of the National Cancer Institute to David E. Lynch on 08/22/2012, this award is issued with an 10 month budget period and with 12 months of support. Continuation awards will cycle each year on 07/01.

INFORMATION: None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. See current salary cap levels at the following URL:

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-035.html>

Therefore, this award and/or future years are adjusted accordingly, if applicable.

INFORMATION: See "Assurance Requirements and Institutional Review Boards" under Part II, Subpart A, Human Subjects, in the NIH Grants Policy Statement (NIHGPS)(rev. 10/11), 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. The NIHGPS can found on the internet at [http://grants.nih.gov/grants/policy/nihgps\\_2011/index.htm](http://grants.nih.gov/grants/policy/nihgps_2011/index.htm). The referenced section of the NIHGPS is available at [http://grants.nih.gov/grants/policy/nihgps\\_2011/nihgps\\_ch4.htm#human\\_subjects\\_federalwide\\_assurance](http://grants.nih.gov/grants/policy/nihgps_2011/nihgps_ch4.htm#human_subjects_federalwide_assurance).

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 (NIHGPS)(rev. 10/11), "Education in the Protection of Human Research Subjects." The NIHGPS can found on the internet at [http://grants.nih.gov/grants/policy/nihgps\\_2011/index.htm](http://grants.nih.gov/grants/policy/nihgps_2011/index.htm). The referenced section of the NIHGPS is available at [http://grants.nih.gov/grants/policy/nihgps\\_2011/nihgps\\_ch4.htm#human\\_subjects\\_protection\\_education](http://grants.nih.gov/grants/policy/nihgps_2011/nihgps_ch4.htm#human_subjects_protection_education)

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.

#### 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:** Arina Kramer  
**Email:** [kramerav@mail.nih.gov](mailto:kramerav@mail.nih.gov) **Phone:** 301-496-3184 **Fax:** 301-496-8601

**Program Official:** Magdalena Thurin  
**Email:** [thurinm@mail.nih.gov](mailto:thurinm@mail.nih.gov) **Phone:** 301-496-1591 **Fax:** 301-402-7819

#### SPREADSHEET SUMMARY

**GRANT NUMBER:** 1R01CA170357-01

**INSTITUTION:** MAYO CLINIC

<b>Budget</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>
Salaries and Wages	\$223,869	\$223,869	\$223,869	\$223,869
Fringe Benefits	\$65,775	\$65,775	\$65,775	\$65,775
Other Costs	\$121,736	\$115,914	\$108,044	\$105,957
TOTAL FEDERAL DC	\$411,380	\$405,558	\$397,688	\$395,601
TOTAL FEDERAL F&A	\$242,714	\$239,279	\$234,636	\$233,405
TOTAL COST	\$654,094	\$644,837	\$632,324	\$629,006

<b>Facilities and</b>	<b>Year 1</b>	<b>Year 2</b>	<b>Year 3</b>	<b>Year 4</b>
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<b>Administrative Costs</b>				
F&A Cost Rate 1	59%	59%	59%	59%
F&A Cost Base 1	\$411,380	\$405,558	\$397,688	\$395,601
F&A Costs 1	\$242,714	\$239,279	\$234,636	\$233,405