



RESEARCH  
Department of Health and Human Services  
National Institutes of Health



NATIONAL CANCER INSTITUTE

**Grant Number:** 5R01CA075289-20

**FAIN:** R01CA075289

**Principal Investigator(s):**

JAMES G FUJIMOTO (contact), PHD

HIROSHI MASHIMO, MD

**Project Title:** Optical Biopsy Using Optical Coherence Tomography

Mary McGonagle  
Massachusetts Institute of Technology  
77 Massachusetts Ave  
Cambridge, MA 021394307

**Award e-mailed to:** nih-award@mit.edu

**Period Of Performance:**

**Budget Period:** 05/01/2017 – 04/30/2018

**Project Period:** 09/05/1997 – 04/30/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$259,717 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to MASSACHUSETTS INSTITUTE OF TECHNOLOGY 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 R01CA075289. 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,

Joy Kears  
Grants Management Officer  
NATIONAL CANCER INSTITUTE

Additional information follows

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**SECTION I – AWARD DATA – 5R01CA075289-20****Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$198,028
Federal F&A Costs	\$61,689
Approved Budget	\$259,717
Total Amount of Federal Funds Obligated (Federal Share)	\$259,717
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$259,717</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$259,717**

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
20	\$259,717	\$259,717
21	\$288,576	\$288,576

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

**Fiscal Information:**

**CFDA Name:** Cancer Detection and Diagnosis Research  
**CFDA Number:** 93.394  
**EIN:** 1042103594A1  
**Document Number:** RCA075289E  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2017

IC	CAN	2017	2018
CA	8479566	\$259,717	\$288,576

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

**NIH Administrative Data:**

**PCC:** T4DI / **OC:** 414E / **Released:** KEARSEJ 04/26/2017  
**Award Processed:** 04/27/2017 12:13:15 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01CA075289-20**

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 – 5R01CA075289-20**

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

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

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

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

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

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

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

This award has been assigned the Federal Award Identification Number (FAIN) R01CA075289. 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/>.

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 – 5R01CA075289-20**

**REQUIREMENT:** If a renewal application is submitted for this project, the requested budget is subject to the direct cost cap calculated in accordance with the National Cancer Institute's (NCI)

policy, "Policy for Allowable Requested Budget Levels of Renewal (Type 2) R01, U01 and P01 Applications." See NIH Guide Notice: [NOT-CA-08-026](#).

**INFORMATION:** As indicated in the NIH Guide Notice [NOT-OD-17-001](#), NIH is currently funded through a Continuing Resolution (CR). All legislative mandates that were in effect in FY 2016 (see [NOT-OD-16-044](#) and [NOT-OD-16-048](#)) remain in effect under the CR including the salary limitation set at Executive Level II of the Federal Pay Scale as described in [NOT-OD-16-059](#).

**INFORMATION:** NIH is currently funded through a Continuing Resolution (CR) (See NIH Guide Notice: [NOT-OD-17-001](#)). Therefore, this non-competing award has been made at 90% of the level indicated for this budget period on the prior Notice of Grant Award. If the final appropriation permits, adjustments may be made up to the final FY2017 funding plan level.

**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.

#### 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:** Joy Kearse  
**Email:** [kearsej@mail.nih.gov](mailto:kearsej@mail.nih.gov) **Phone:** 301-631-3002 **Fax:** 301-451-5391

**Program Official:** Pushpa Tandon  
**Email:** [tondonp@mail.nih.gov](mailto:tondonp@mail.nih.gov) **Phone:** 240.276.5971 **Fax:** 240.276.7890

#### SPREADSHEET SUMMARY

**GRANT NUMBER:** 5R01CA075289-20

**INSTITUTION:** MASSACHUSETTS INSTITUTE OF TECHNOLOGY

Budget	Year 20	Year 21
TOTAL FEDERAL DC	\$198,028	\$220,032
TOTAL FEDERAL F&A	\$61,689	\$68,544
TOTAL COST	\$259,717	\$288,576

Facilities and Administrative Costs	Year 20	Year 21
F&A Cost Rate 1	56%	56%

F&A Cost Base 1	\$110,160	\$122,400
F&A Costs 1	\$61,689	\$68,544