



NATIONAL CENTER FOR COMPLEMENTARY & INTEGRATIVE HEALTH

Grant Number: 5K99AT009206-02
FAIN: K99AT009206

Principal Investigator(s):
Kandy Tawany Velazquez, PHD

Project Title: The effects of Ojeok-san on neuro-immune interactions in cancer-induced visceral pain

Daniel L. Christmus
Senior Sponsored Program Administrator
University of South Carolina, Columbia
1600 Hampton St. Suite 414
Columbia, SC 292080001

Award e-mailed to: sam@mailbox.sc.edu

Period Of Performance:
Budget Period: 09/01/2018 – 08/31/2019
Project Period: 09/01/2017 – 08/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$106,648 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF SOUTH CAROLINA AT COLUMBIA 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 Center For Complementary & Integrative Health of the National Institutes of Health under Award Number K99AT009206. 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,

Shelley Carow
Grants Management Officer
NATIONAL CENTER FOR COMPLEMENTARY & INTEGRATIVE HEALTH

Additional information follows

SECTION I – AWARD DATA – 5K99AT009206-02**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$54,228
Fringe Benefits	\$24,520
Personnel Costs (Subtotal)	\$78,748
Materials & Supplies	\$12,000
Travel	\$5,000
Other	\$2,000
Publication Costs	\$1,000

Federal Direct Costs	\$98,748
Federal F&A Costs	\$7,900
Approved Budget	\$106,648
Total Amount of Federal Funds Obligated (Federal Share)	\$106,648
TOTAL FEDERAL AWARD AMOUNT	\$106,648

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$106,648

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$106,648	\$106,648

Fiscal Information:

CFDA Name: Research and Training in Complementary and Alternative Medicine
CFDA Number: 93.213
EIN: 1576001153A1
Document Number: KAT009206A
PMS Account Type: P (Subaccount)
Fiscal Year: 2018

IC	CAN	2018
AT	8027173	\$106,648

NIH Administrative Data:

PCC: BELFERI / **OC:** 415P / **Released:** CAROWS 08/07/2018
Award Processed: 08/09/2018 12:06:10 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5K99AT009206-02

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 – 5K99AT009206-02

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

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

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

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

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

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

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

This award has been assigned the Federal Award Identification Number (FAIN) K99AT009206. 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 period of performance end date; see the NIH Grants Policy Statement Section 8.6.1 Financial Reports, <http://grants.nih.gov/grants/policy/policy.htm#gps>, for additional information on this submission requirement. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) quarterly cash transaction data. A final quarterly federal cash transaction report is not required for awards in PMS B subaccounts (i.e., awards to foreign entities and to Federal agencies). NIH will close the awards using the last recorded cash drawdown level in PMS for awards that do not require a final FFR on expenditures or quarterly federal cash transaction reporting. It is important to note that for financial closeout, if a grantee fails to submit a required final expenditure FFR, NIH will close the grant using the last recorded cash drawdown level. If the grantee submits a final expenditure FFR but does not reconcile any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH will close the award at the lower amount. This could be considered a debt or result in disallowed costs.

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 120 days of the expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>. This paragraph does not apply to Training grants, Fellowships, and certain other programs—i.e., activity codes C06, D42, D43, D71, DP7, G07, G08, G11, K12, K16, K30, P09, P40, P41, P51, R13, R25, R28, R30, R90, RL5, RL9, S10, S14, S15, U13, U14, U41, U42, U45, UC6, UC7, UR2, X01, X02.

Unless an application for competitive renewal is submitted, a Final Research Performance Progress Report (Final RPPR) must also be submitted within 120 days of the period of performance end date. If a competitive renewal application is submitted prior to that date, then an Interim RPPR must be submitted by that date as well. Instructions for preparing an Interim or Final RPPR are at: https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the Interim or Final RPPR. *Note that data reported within Section I of the Interim and Final RPPR forms will be made public and should be written for a lay person audience.*

NIH strongly encourages electronic submission of the final invention statement through the Closeout feature in the Commons, but will accept an email or hard copy submission as indicated below.

Email: The final invention statement may be e-mailed as PDF attachments to: NIHCloseoutCenter@mail.nih.gov.

Hard copy: Paper submissions of the final invention statement may be faxed to the NIH Division of Central Grants Processing, Grants Closeout Center, at 301-480-2304, or mailed to:

National Institutes of Health
Office of Extramural Research
Division of Central Grants Processing
Grants Closeout Center
6705 Rockledge Drive
Suite 5016, MSC 7986
Bethesda, MD 20892-7986 (for regular or U.S. Postal Service Express mail)
Bethesda, MD 20817 (for other courier/express deliveries only)

NOTE: If this is the final year of a competitive segment due to the transfer of the grant to another institution, then a Final RPPR is not required. However, a final expenditure FFR is required and should be submitted electronically as noted above. If not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (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 – AT Special Terms and Conditions – 5K99AT009206-02

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

A COMPLETE APPLICATION FOR THE INDEPENDENT PHASE (R00) MUST BE RECEIVED BY THE NCCIH NO LATER THAN 2 MONTHS PRIOR TO THE K99 AWARD'S PROJECT PERIOD END DATE. As indicated in the Program Announcement for this mechanism, the applicant must demonstrate in the application that an independent tenure-track, full-time assistant professor position has been secured. Applicants are strongly encouraged to review the Program Announcement and discuss with the Program Official listed below, as early as possible, proposed transition plans.

Award of the R00 phase is not automatic. Applicants that are approved to transition will receive a Notice of Award reflecting the new grant mechanism, the dollar amount, and the new recipient organization (if applicable). Applicants that are not approved to transition will receive written notification from the awarding component communicating the rationale for the disapproval. This letter typically will be sent within 60 days of receipt of the R00 application. Since the principal purpose of this award is to transition the principal investigator to an independent investigator, no request to change the principal investigator will be considered. A Federal Financial Report (SF 425) must be submitted through the eRA Commons and is due 90 days after the end of the calendar quarter in which the budget period of the K99 phase ends.

If the R00 phase is NOT funded, the K99 phase must be closed out. The required grant closeout documents consisting of a Federal Financial Report, Final Invention Statement (HHS 568), and a final progress report must be submitted using the Closeout feature of the eRA Commons. The reports are due 90 days after the K99 project period end date. The final Federal Financial Report and the Final Invention Statement are available online at: <http://grants.nih.gov/grants/forms.htm>. See Section III above regarding information that should be included in the final progress report.

EFFORT:

This Career Award requires a minimum of 9.00 person months' effort (75%) be devoted to the research project.

INFORMATION:

Grants Management must be notified at least 3 months in advance of any anticipated administrative changes on this award (for example change of institution, sponsor, and/or any type of sabbatical or leave of absence).

K-AWARD GUIDELINES:

The guidelines for this K award state that your institution may supplement the NIH salary contribution up to a level that is consistent with your institution's salary scale; however, supplementation may not be from Federal funds unless specifically authorized by the Federal program from which such funds are derived. Because the salary amount provided by this award is based on the full-time institutional salary, no other PHS funds may be used for salary supplementation.

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: Leslie D. Boggs
Email: boggs1@mail.nih.gov **Phone:** 301-451-2685

Program Official: Inna Belfer
Email: inna.belfer@nih.gov **Phone:** 301-435-1573 **Fax:** 301-481-3621

SPREADSHEET SUMMARY

GRANT NUMBER: 5K99AT009206-02

INSTITUTION: UNIVERSITY OF SOUTH CAROLINA AT COLUMBIA

Budget	Year 2
Salaries and Wages	\$54,228
Fringe Benefits	\$24,520
Personnel Costs (Subtotal)	\$78,748
Materials & Supplies	\$12,000
Travel	\$5,000
Other	\$2,000
Publication Costs	\$1,000
TOTAL FEDERAL DC	\$98,748
TOTAL FEDERAL F&A	\$7,900
TOTAL COST	\$106,648

Facilities and Administrative Costs	Year 2
F&A Cost Rate 1	8%
F&A Cost Base 1	\$98,748
F&A Costs 1	\$7,900