



| Recipient Information  | Federal Award Information   |
|--|---|
| <p><b>1. Recipient Name</b><br/>YENEPOYA UNIVERSITY<br/>UNIVERSITY ROAD, DERLAKATTE,<br/><br/>MANGALORE, KARNATAKA 575018 IND</p> <p><b>2. Congressional District of Recipient</b></p> <p><b>3. Payment System Identifier (ID)</b><br/>1900217626A1</p> <p><b>4. Employer Identification Number (EIN)</b><br/>900217626</p> <p><b>5. Data Universal Numbering System (DUNS)</b><br/>650390557</p> <p><b>6. Recipient's Unique Entity Identifier</b></p> <p><b>7. Project Director or Principal Investigator</b><br/>Vina Vaswani, MBBS (Contact)<br/><br/>bioethics@yenepoya.edu.in<br/>919449003989</p> <p><b>8. Authorized Official</b><br/>Mr. Farhaad Yenepoya<br/>yenepoya@gmail.com<br/>919880279802</p> | <p><b>11. Award Number</b><br/>5R25TW010305-05</p> <p><b>12. Unique Federal Award Identification Number (FAIN)</b><br/>R25TW010305</p> <p><b>13. Statutory Authority</b><br/>42 USC 241 42 CFR 52</p> <p><b>14. Federal Award Project Title</b><br/>Yenepoya University-Fogarty International Center Research Ethics Master's Program for India</p> <p><b>15. Assistance Listing Number</b><br/>93.989</p> <p><b>16. Assistance Listing Program Title</b><br/>International Research and Research Training</p> <p><b>17. Award Action Type</b><br/>Non-Competing Continuation</p> <p><b>18. Is the Award R&amp;D?</b><br/>Yes</p>   |
| <p><b>Federal Agency Information</b></p> <p><b>9. Awarding Agency Contact Information</b><br/>Mollie Shea<br/>Grants Management Specialist<br/>FOGARTY INTERNATIONAL CENTER<br/>mshea@niaid.nih.gov<br/>240-669-2960</p> <p><b>10. Program Official Contact Information</b><br/>Barbara J Sina<br/>Program Officer<br/>FOGARTY INTERNATIONAL CENTER<br/>barbara.sina@nih.gov<br/>301-402-9467</p>  | <p><b>19. Budget Period Start Date</b> 09/01/2021 – <b>End Date</b> 08/31/2022</p> <p><b>20. Total Amount of Federal Funds Obligated by this Action</b> \$288,383</p> <p style="padding-left: 20px;">20 a. Direct Cost Amount \$267,021</p> <p style="padding-left: 20px;">20 b. Indirect Cost Amount \$21,362</p> <p><b>21. Authorized Carryover</b> \$0</p> <p><b>22. Offset</b> \$0</p> <p><b>23. Total Amount of Federal Funds Obligated this budget period</b> \$288,383</p> <p><b>24. Total Approved Cost Sharing or Matching, where applicable</b> \$0</p> <p><b>25. Total Federal and Non-Federal Approved this Budget Period</b> \$288,383</p> <p>-----</p> <p><b>26. Project Period Start Date</b> 09/27/2016 – <b>End Date</b> 08/31/2022</p> <p><b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b> \$1,441,531</p> <p><b>28. Authorized Treatment of Program Income</b><br/>Additional Costs</p> <p><b>29. Grants Management Officer - Signature</b><br/>BRUCE R BUTRUM</p> |
| <p><b>30. Remarks</b><br/>Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.</p>   |   |



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**SECTION I – AWARD DATA – 5R25TW010305-05**

**Principal Investigator(s):**

Bebe Loff  
Vina Vaswani (contact), MBBS

**Award e-mailed to:** registrar@yenepoya.edu.in

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$288,383 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to YENEPOYA 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 recipient when funds are drawn down or otherwise requested 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 Fogarty International Center of the National Institutes of Health under Award Number R25TW010305. 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 direct questions to the Federal Agency contacts.

Sincerely yours,

BRUCE R BUTRUM  
Grants Management Officer  
FOGARTY INTERNATIONAL CENTER

Additional information follows

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**Cumulative Award Calculations for this Budget Period (U.S. Dollars)**

|  |                  |
|--|------------------|
| Salaries and Wages                                       | \$76,972         |
| Fringe Benefits  | \$4,000          |
| Personnel Costs (Subtotal)                               | \$80,972         |
| Consultant Services                                      | \$475            |
| Materials & Supplies                                     | \$1,194          |
| Travel   | \$10,821         |
| Other  | \$37,037         |
| Publication Costs  | \$1,000          |
| Participant Subsistence                                  | \$17,910         |
| Participant Stipends                                     | \$114,626        |
| Participant Travel                                       | \$2,986          |
| <br>   |                  |
| Federal Direct Costs                                     | \$267,021        |
| Federal F&A Costs  | \$21,362         |
| Approved Budget  | \$288,383        |
| Total Amount of Federal Funds Authorized (Federal Share) | \$288,383        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                        | <b>\$288,383</b> |
| <br>   |                  |
| <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>             | <b>\$288,383</b> |

| SUMMARY TOTALS FOR ALL YEARS (for this Document Number) |            |                   |
|---|------------|-------------------|
| YR  | THIS AWARD | CUMULATIVE TOTALS |
| 5   | \$288,383  | \$288,383         |

**Fiscal Information:**

**Payment System Identifier:** 1900217626A1  
**Document Number:** RTW010305A  
**PMS Account Type:** B (Subaccount)  
**Fiscal Year:** 2021

|    |         |           |
|----|---------|-----------|
| IC | CAN     | 2021      |
| TW | 8476374 | \$288,383 |

**NIH Administrative Data:**

**PCC:** BIOETH / **OC:** 41032 / **Released:** BUTRUM, BRUCE 09/13/2021  
**Award Processed:** 09/17/2021 12:07:16 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25TW010305-05**

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

**SECTION III – STANDARD TERMS AND CONDITIONS – 5R25TW010305-05**

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

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

progress report when applicable.

- 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) R25TW010305. 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](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](mailto: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

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#### SECTION IV – TW SPECIFIC AWARD CONDITIONS – 5R25TW010305-05

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.

**THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF AWARD.**

**100% Grant Funds are RESTRICTED pending Yenepoya University's submission of the 02, 03 and 04 year FFR and ALL manuscripts have been brought into Compliance as required by NIH Policy.**

**No funds may be drawn down from the payment system and no obligations may be made against Federal funds prior to the FIC's notification to the grantee that the identified issues have been resolved and this restriction removed.**

The present award is being made without a currently valid certification of IRB approval for **Trainee Human Subject projects as outlined in the RPPR**, with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the FIC's acceptance of the certification of IRB review and approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for research involving human subjects prior to the FIC's notification to the grantee that the identified issues have been resolved and this restriction removed.

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**FIC Funding Strategy**

NIH is currently operating under the *Consolidated Appropriations Act, 2021* ([Public Law 116-260](#)), signed into law on December 27, 2020, provides funding to NIH for the Fiscal Year ending September 30, 2021.

<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-056.html>

**FUNDING ANNOUNCEMENT**

This award is subject to the conditions set forth in PAR-TW-13-027: RFA International Research Ethics Education and Curriculum Development Award (R25). The RFA can be found at:

<http://grants.nih.gov/grants/guide/pa-files/PAR-13-027.html>

**COLLABORATION**

Funds are provided for a collaboration with Monash University, Australia.

**REQUIREMENT TO REBUDGET (F&A)**

FIC is issuing this non-competing award at the committed total cost level. The budget figures for this award were calculated based on the committed category values from the prior year. You must re-budget indirect costs based on the new F&A rate for foreign and international organizations. Budgets submitted for future progress reports (RPPR's) must reflect the correct F&A rate for foreign and international organizations

**KEY PERSONNEL**

For purposes of this award the following person(s) are considered key personnel in addition to the PI(s) already named on this Notice of Award. All policies that apply to the PI(s) (e.g. the requirement to obtain NIH prior approval for personnel changes and to supply information about other support with each progress report) are hereby applied to the following person(s):

**Bebe Loff, Ph.D., Monash, Australia**

In addition to the PI, any absence, replacement, or substantial reduction in effort of the individual(s), requires the written prior approval of the National Institutes of Health awarding component.

**PAYMENTS TO FOREIGN GRANT RECIPIENTS**

The NIH has made several changes to the policies and procedures for awards to Foreign Institutions. Awards made on or after October 1, 2012 will now be paid through the Payment Management System (PMS). Please refer to NIH Guide Notice NOT-OD-12-139 for guidance (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-139.html>).

1. To receive payment Grantees must complete the SF-1199A Direct Deposit Form, the DPM PMS System Access Form for NIH Foreign Grantees, and provide an International Bank Letter on your bank letterhead with authorized signatures for all new PMS accounts and new PMS users.
2. Detailed instructions and forms have been sent to all grantees. Contact your Grants Management Specialist if you did not receive this information.



3. Forms must be completed for each NIH Grant Award and Access Forms must be completed for each individual who needs access to an existing or new PMS account. Send the forms to the Division of Payment Management (DPM) as instructed on the forms.

### **INTEREST EARNED ON ADVANCES OF GRANT FUNDS**

NIH grantee subject to the requirements of 2 CFR part 200 that receives advance payments must maintain those advances in an interest-bearing account (2 CFR 200.305.8). The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the recipient organization for direct program or project costs. However, any interest on Federal advances of grant funds that exceeds US\$500 per year in the aggregate must be remitted annually to the Department of Health and Human Services, Payment Management System, PO Box 6021, Rockville, MD 20852 (as the government-wide agent for collection). Interest amounts up to US\$500 per year may be retained by the recipient for administrative expenses (2 CFR 200.305.9).

### **HUMAN SUBJECT AND ANIMAL RESEARCH INFORMATION FOR TRAINING GRANTS**

FIC funded research must have the appropriate required NIH and HHS assurances before any research or research training involving human subjects begins. These assurances apply to all research grants, any research supported by training grants (including re-entry support for foreign scientists), and research supported under a cooperative agreement. All human subjects research projects must have had a scientific review either by a peer review panel or by another independent review mechanism. Activity in which human subjects are involved may be undertaken if the institution has an active FWA assurance and if the project has been reviewed and approved by the appropriate Institutional Review Board (IRB). Activity in which Animal Research will be conducted may only be undertaken if the institution has an active Animal Assurance on file with the NIH Office of Laboratory Animal Welfare (OLAW).

**Grant recipients must provide human subjects and IRB approval information in Section B.6 and Section B.7. for Vertebrate Animals provide the IACUC approval. "Special NOA terms and FOA reporting requirements" of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage:**

**<http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>**

### **UNIFORM GRANT GUIDANCE AND REVISED NIH GRANTS POLICY STATEMENT**

Per Notice Number NOT-OD-15-046, the Department of Health and Human Services published an interim rule adapting OMB's final Uniform Grant Guidance in 2 CFR part 200 with certain amendments, based on existing HHS regulations, to supplement the guidance as needed for the Department effective December 26, 2014. Links to the revised Grants Policy Statement and a document summarizing the significant changes that were implemented are provided in the Notice Highlighted below are some select items of costs of particular note to FIC grant recipients:

? **F&A for Foreign and International Organizations:** NIH and FIC continue to provide F&A costs under grants to foreign and international organizations will be funded at a rate of 8 percent of modified total direct costs, exclusive of equipment, consistent with existing policy.

? **F&A for Career/Fellowship/Training Awards:** NIH and FIC continue to provide F&A costs under research training, some education grants, and Career (K) awards will be funded at a rate of 8 percent of modified total direct costs, exclusive of tuition and fees, health insurance (when awarded as part of tuition and fees), equipment, and consortiums in excess of \$25,000, consistent with existing policy.

? **Value Added Tax:** Foreign taxes charged for the purchase of goods or services that a non-Federal entity is legally required to pay in country is an allowable expense under Federal awards. However, for many countries an exemption of this tax for research exists. Consequently, requesting this cost should be unallowable for research grants involving such countries as a performance site.

? **Visa Costs:** Allowable as a direct cost as part of recruiting costs on an NIH grant. Allowable as a trainee cost and not allowable for other non-trainee project personnel, consistent with existing FIC policy. Generally, allowable **direct cost** as part of recruiting costs on an NIH grant, as long as the institution has an employee/employer relationship with the individual.

### **eRA Commons User IDs to Individuals in Graduate and Undergraduate Student Project Roles with Measurable Effort on an NIH Annual Progress Report**

In accordance with NOT-OD-13-097, any trainee or individual with an Undergraduate, Graduate Student, and/or Postdoctoral Role who participates in an NIH-funded project for at least one person month (160 hours) or more training in the reporting period must be registered in the eRA Commons. This is required regardless of whether salary is actually charged to the project.

**Grant recipients must provide the list in Section D.1 of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage: <http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>**

#### **CHANGES IN SCOPE**

Prior approval must be obtained from the NIH awarding component for any changes in the direction, type of research or training, the use of human or animal subjects, or other areas that constitute a significant change from the aims, objectives, purpose, or scope of the approved project.

#### **F&A COSTS**

Limited F&A of 8% for administrative costs is provided to support the administrative needs of managing this project. F&A charges are limited to eight percent for both domestic and foreign research training partners. Consortia institutions also may only charge eight percent of applicable direct costs for F&A.

#### **RESTRICTION AGAINST MEAL COSTS**

In accordance with the NIH Grants Policy Statement, when certain meals are an integral and necessary part of a meeting or conference (i.e., a working meal where business is transacted), grant funds may be used for such meals. Unless part of a working meal, grant funds may not be used. Recurring business meetings, such as staff meetings, should not be broadly considered as working meetings in order to justify charging meals or refreshment costs to grants.

#### **RESTRICTION AGAINST VISA COSTS**

Visa costs are allowable only as a trainee/student expense or as described in the NIH Grants Policy Statement. Visa costs requested that are not for trainees are unallowable and must be rebudgeted.

#### **RESTRICTION AGAINST HONORARIA**

In accordance with the NIH Grants Policy Statement, honoraria are not allowed when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, the recipient of the honorarium. A payment for services rendered, such as a speaker's fee is allowable.

#### **FOREIGN TRAVEL**

U.S. Flag carriers must be used for departure from or entry into the U.S. and for other portions of the trip where available.

#### **RESPONSIBLE CONDUCT OF RESEARCH**

NIH policy requires instruction in responsible conduct of research by individuals supported by any NIH research training or career awards. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. NIH does not require certification of compliance or submission of documentation, but expects institutions to maintain records sufficient to demonstrate that NIH-supported trainees, fellows, and scholars have received the required instruction. Each annual progress report must include the following information about activities that took place during the past budget period:

- \* a description of the instruction in responsible conduct of research (RCR)
- \* a description of who received RCR instruction
- \* a description of any enhancements and/or modifications to the five instructional components described in the competing application or the previous year's progress report
- \* a list of names of faculty who contributed to formal instruction in RCR and the specific training they provided

More information is available in the NIH Guide Notice NOT-OD-10-019

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>

#### **Mandatory Submission of the Federal Financial Report (FFR) in the Payment Management System Beginning January 1, 2021**



Beginning January 1, 2021, NIH recipients must submit required annual and final FFRs in PMS. Recipients who have FFRs that are a work-in-progress in the eRA Commons/FFR module as of January 1, 2021, will need to restart the FFR in PMS.

- Recipient staff responsible for completing and submitting FFRs must register with [PMS](#) to obtain log in credentials prior to submitting an FFR.
- Recipients can directly access PMS [via the new Manage FFR](#) button in eRA Commons.. This button will take the recipient directly to PMS, where the recipient will log in and be taken to the [Federal Financial Report — Details screen](#) for the given award in PMS. Once the FFR is completed, the recipient will submit it to NIH in PMS.
- Recipients will still be able to see the current status of their submission in the eRA Commons/FFR module.
- Recipients may also search for and access FFRs directly in PMS in most cases.
- Recipients who need to revise FFR submissions should do so in PMS in most cases.
- Recipients unable to locate FFRs in PMS should contact the [eRA Service Desk](#) for assistance.

Note: Due to data migration considerations and data elements contained in older FFRs, some previously accepted FFRs may not be migrated to PMS. Examples of FFRs that may not be migrated include: FFRs for direct awards to foreign institutions issued prior to October 1, 2012; awards made to PMS pooled accounts; and FFRs reporting more than ten F&A rates.

Guide Notice - <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-046.html>

Questions regarding the FFR may also be addressed here:

Contact: Shannon Hershman  
Government Accounting Branch  
Office of Financial Management  
Email: [hershmans@od.nih.gov](mailto:hershmans@od.nih.gov)  
Fax: 301-402-4934

## **RESEARCH MISCONDUCT**

The regulations governing research misconduct require the grantee to submit an annual report (Form 6349) to the Office of Research Integrity (ORI) detailing aggregate information on allegations, inquiries, and investigations handled by the grantee in the previous year. ORI automatically sends this form to NIH grantees at the end of the calendar year. Any questions regarding misconduct issues may be addressed to the office below:

Robin Parker  
Assurance Program Manager  
Office of Research Integrity  
Rockville, MD 20852  
Phone # 240-453-8402  
Fax # 301-594-0042  
[Robin.parker@hhs.gov](mailto:Robin.parker@hhs.gov)  
<http://ori.dhhs.gov/assurance/fis.shtml>

## **AUDIT REQUIREMENT**

A foreign organization is required to have a non-Federal audit if:

\*It has expended a total of \$750,000 or more under one or more HHS award (as a direct grantee and/or under a consortium participant and at least one of those awards is an HHS grant).

If an audit is required, there are two options regarding the type of audit that will satisfy the audit requirements. The grantee may have EITHER:

(1) a financial-related audit (as defined in, and in accordance with, the Government Auditing Standards (commonly known as the <Yellow Book>), GPO stock 020-000- 00-265-4, of all the HHS awards

(2) an audit that meets the requirements of OMB Circular A-133.

The requirements for non-Federal audits of foreign organizations are specified in 2 CFR 200 which incorporates the thresholds and deadlines of OMB Circular A-133.

**If there are any audit findings concerning grant funds, you must send a copy of the audit the FIC Grants Management Specialist associated with this grant.**

The Government Auditing Standards are available electronically at <http://www.gao.gov/govaud/ybk01.htm>. Audits must be completed and submitted to the following office within 30 days after receipt of the auditors report(s), or 9 months after the end of the audit period, i.e., the end of the organizations fiscal year, whichever is earlier. The address is:

For up-to-date information, you may access the NIH Home Page at <http://www.nih.gov/> and the FIC Home Page at <http://www.fic.nih.gov/>.

**NEW GRANT CLOSEOUT REQUIREMENTS**

Effective October 1, 2014, NIH closeout policy has changed (see NOT-OD-14-084 and NOT-OD-15-065). If the grants closeout process is not completed **WITHIN 180 days of the project period end date** (the expiration date of a grant, which will be AFTER any approved no-cost extension periods), new HHS policy stipulates that the NIH must initiate unilateral closeout (i.e. Closeout without the receipt of acceptable final reports). Unilateral closeout may include unilateral financial closeout using the last recorded cash drawdown level in the Payment Management System. If the grantee submits a final expenditure FFR but has not reconciled any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH is required to close the award at the lower amount. (This could be considered a debt or result in disallowed costs.) **\*\*\*This means your institution may lose and have to repay to the Federal Government, any funds associated with the un-reconciled costs.\*\*\***

In order to avoid unilateral closeout, final reports must be submitted in a timely manner. In addition to unilateral closeout, failure to submit accurate final reports could result in enforcement actions such as corrective actions, removal of authorities on active grants, and/or delay or withholding of future awards.

**SPREADSHEET SUMMARY**

**AWARD NUMBER:** 5R25TW010305-05

**INSTITUTION:** YENEPLOYA UNIVERSITY

| Budget                     | Year 5    |
|----------------------------|-----------|
| Salaries and Wages         | \$76,972  |
| Fringe Benefits            | \$4,000   |
| Personnel Costs (Subtotal) | \$80,972  |
| Consultant Services        | \$475     |
| Materials & Supplies       | \$1,194   |
| Travel                     | \$10,821  |
| Other                      | \$37,037  |
| Publication Costs          | \$1,000   |
| Participant Subsistence    | \$17,910  |
| Participant Stipends       | \$114,626 |
| Participant Travel         | \$2,986   |
| TOTAL FEDERAL DC           | \$267,021 |
| TOTAL FEDERAL F&A          | \$21,362  |
| TOTAL COST                 | \$288,383 |

| Facilities and Administrative Costs | Year 5    |
|-------------------------------------|-----------|
| F&A Cost Rate 1                     | 8%        |
| F&A Cost Base 1                     | \$229,984 |
| F&A Costs 1                         | \$18,399  |
| F&A Cost Rate 2                     | 8%        |
| F&A Cost Base 2                     | \$37,037  |
| F&A Costs 2                         | \$2,963   |



FOGARTY INTERNATIONAL CENTER

**Grant Number:** 5R25TW010305-04  
**FAIN:** R25TW010305

**Principal Investigator(s):**

Bebe Loff  
Vina Vaswani (contact), MBBS

**Project Title:** Yenepoya University-Fogarty International Center Research Ethics Master's Program for India

Mr. Yenepoya, Farhaad  
Director R&F  
University Road  
Derlakatte  
Mangalore, 575018  
IND

**Award e-mailed to:** registrar@yenepoya.edu.in

**Period Of Performance:**

**Budget Period:** 09/01/2020 – 08/31/2021

**Project Period:** 09/27/2016 – 08/31/2022

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$288,383 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to YENEPOYA 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 Fogarty International Center of the National Institutes of Health under Award Number R25TW010305. 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,

BRUCE R BUTRUM  
Grants Management Officer  
FOGARTY INTERNATIONAL CENTER

Additional information follows

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**SECTION I – AWARD DATA – 5R25TW010305-04****Award Calculation (U.S. Dollars)**

|   |                  |
|---|------------------|
| Salaries and Wages                                      | \$76,972         |
| Fringe Benefits   | \$4,000          |
| Personnel Costs (Subtotal)                              | \$80,972         |
| Consultant Services                                     | \$475            |
| Materials & Supplies                                    | \$1,194          |
| Travel  | \$10,821         |
| Other   | \$37,037         |
| Publication Costs                                       | \$1,000          |
| Participant Subsistence                                 | \$17,910         |
| Participant Stipends                                    | \$114,626        |
| Participant Travel                                      | \$2,986          |
| <br>  |                  |
| Federal Direct Costs                                    | \$267,021        |
| Federal F&A Costs                                       | \$21,362         |
| Approved Budget   | \$288,383        |
| Total Amount of Federal Funds Obligated (Federal Share) | \$288,383        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                       | <b>\$288,383</b> |

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$288,383**

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 4                            | \$288,383  | \$288,383         |
| 5                            | \$288,383  | \$288,383         |

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

**Fiscal Information:**

**CFDA Name:** International Research and Research Training  
**CFDA Number:** 93.989  
**EIN:** 1900217626A1  
**Document Number:** RTW010305A  
**PMS Account Type:** B (Subaccount)  
**Fiscal Year:** 2020

| IC | CAN     | 2020      | 2021      |
|----|---------|-----------|-----------|
| TW | 8476374 | \$288,383 | \$288,383 |

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

**NIH Administrative Data:**

**PCC:** BIOETH / **OC:** 41032 / **Released:** BUTRUMBR 08/27/2020  
**Award Processed:** 09/10/2020 12:22:34 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25TW010305-04**

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 – 5R25TW010305-04**

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) R25TW010305. 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

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## **SECTION IV – TW Special Terms and Conditions – 5R25TW010305-04**

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.

### **FUNDING ANNOUNCEMENT**

This award is subject to the conditions set forth in PAR-TW-13-027: RFA International Research Ethics Education and Curriculum Development Award (R25). The RFA can be found at: <http://grants.nih.gov/grants/guide/pa-files/PAR-13-027.html>

### **COLLABORATION**

Funds are provided for a collaboration with Monash University, Australia.

### **REQUIREMENT TO REBUDGET (F&A)**

FIC is issuing this non-competing award at the committed total cost level. The budget figures for this award were calculated based on the committed category values from the prior year. You must re-budget indirect costs based on the new F&A rate for foreign and international organizations. Budgets submitted for future progress reports (RPPR's) must reflect the correct F&A rate for foreign and international organizations

### **KEY PERSONNEL**

For purposes of this award the following person(s) are considered key personnel in addition to the PI(s) already named on this Notice of Award. All policies that apply to the PI(s) (e.g. the requirement to obtain NIH prior approval for personnel changes and to supply information about other support with each progress report) are hereby applied to the following person(s):

**Bebe Loff, Ph.D., Monash, Australia**

In addition to the PI, any absence, replacement, or substantial reduction in effort of the individual(s), requires the written prior approval of the National Institutes of Health awarding component.

### **PAYMENTS TO FOREIGN GRANT RECIPIENTS**

The NIH has made several changes to the policies and procedures for awards to Foreign Institutions. Awards made on or after October 1, 2012 will now be paid through the Payment Management System (PMS). Please refer to NIH Guide Notice NOT-OD-12-139 for guidance (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-12-139.html>).

1. To receive payment Grantees must complete the SF-1199A Direct Deposit Form, the DPM PMS System Access Form for NIH Foreign Grantees, and provide an International Bank Letter on your bank letterhead with authorized signatures for all new PMS accounts and new PMS users.
2. Detailed instructions and forms have been sent to all grantees. Contact your Grants Management Specialist if you did not receive this information.
3. Forms must be completed for each NIH Grant Award and Access Forms must be completed for each individual who needs access to an existing or new PMS account. Send the forms to the Division of Payment Management (DPM) as instructed on the forms.

### **INTEREST EARNED ON ADVANCES OF GRANT FUNDS**

NIH grantee subject to the requirements of 2 CFR part 200 that receives advance payments must maintain those advances in an interest-bearing account (2 CFR 200.305.8). The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the recipient organization for direct program or project costs. However, any interest on Federal advances of grant funds that exceeds US\$500 per year in the aggregate must be remitted annually to the Department of Health and Human Services, Payment Management System, PO Box 6021, Rockville, MD 20852 (as the government-wide agent for collection). Interest amounts up to US\$500 per year may be retained by the recipient for administrative expenses (2 CFR 200.305.9).

### **HUMAN SUBJECT AND ANIMAL RESEARCH INFORMATION FOR TRAINING GRANTS**

FIC funded research must have the appropriate required NIH and HHS assurances before any research or research training involving human subjects begins. These assurances apply to all research grants, any research supported by training grants (including re-entry support for foreign scientists), and research supported under a cooperative agreement. All human subjects research projects must have had a scientific review either by a peer review panel or by another independent review mechanism. Activity in which human subjects are involved may be undertaken if the institution has an active FWA assurance and if the project has been reviewed and approved by the appropriate Institutional Review Board (IRB). Activity in which Animal Research will be conducted may only be undertaken if the institution has an active Animal Assurance on file with the NIH Office of Laboratory Animal Welfare (OLAW).

**Grant recipients must provide human subjects and IRB approval information in Section B.6 and Section B.7. for Vertebrate Animals provide the IACUC approval. "Special NOA terms and FOA reporting requirements" of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage: <http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>**

#### **UNIFORM GRANT GUIDANCE AND REVISED NIH GRANTS POLICY STATEMENT**

Per Notice Number NOT-OD-15-046, the Department of Health and Human Services published an interim rule adapting OMB's final Uniform Grant Guidance in 2 CFR part 200 with certain amendments, based on existing HHS regulations, to supplement the guidance as needed for the Department effective December 26, 2014. Links to the revised Grants Policy Statement and a document summarizing the significant changes that were implemented are provided in the Notice Highlighted below are some select items of costs of particular note to FIC grant recipients:

? **F&A for Foreign and International Organizations:** NIH and FIC continue to provide F&A costs under grants to foreign and international organizations will be funded at a rate of 8 percent of modified total direct costs, exclusive of equipment, consistent with existing policy.

? **F&A for Career/Fellowship/Training Awards:** NIH and FIC continue to provide F&A costs under research training, some education grants, and Career (K) awards will be funded at a rate of 8 percent of modified total direct costs, exclusive of tuition and fees, health insurance (when awarded as part of tuition and fees), equipment, and consortiums in excess of \$25,000, consistent with existing policy.

? **Value Added Tax:** Foreign taxes charged for the purchase of goods or services that a non-Federal entity is legally required to pay in country is an allowable expense under Federal awards. However, for many countries an exemption of this tax for research exists. Consequently, requesting this cost should be unallowable for research grants involving such countries as a performance site.

? **Visa Costs:** Allowable as a direct cost as part of recruiting costs on an NIH grant. Allowable as a trainee cost and not allowable for other non-trainee project personnel, consistent with existing FIC policy. Generally, allowable **direct cost** as part of recruiting costs on an NIH grant, as long as the institution has an employee/employer relationship with the individual.

#### **eRA Commons User IDs to Individuals in Graduate and Undergraduate Student Project Roles with Measurable Effort on an NIH Annual Progress Report**

In accordance with NOT-OD-13-097, any trainee or individual with an Undergraduate, Graduate Student, and/or Postdoctoral Role who participates in an NIH-funded project for at least one person month (160 hours) or more training in the reporting period must be registered in the eRA Commons. This is required regardless of whether salary is actually charged to the project.

**Grant recipients must provide the list in Section D.1 of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage: <http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>**

#### **CHANGES IN SCOPE**

Prior approval must be obtained from the NIH awarding component for any changes in the direction, type of research or training, the use of human or animal subjects, or other areas that constitute a significant change from the aims, objectives, purpose, or scope of the approved project.

#### **F&A COSTS**

Limited F&A of 8% for administrative costs is provided to support the administrative needs of managing this project. F&A charges are limited to eight percent for both domestic and foreign

research training partners. Consortia institutions also may only charge eight percent of applicable direct costs for F&A.

#### **RESTRICTION AGAINST MEAL COSTS**

In accordance with the NIH Grants Policy Statement, when certain meals are an integral and necessary part of a meeting or conference (i.e., a working meal where business is transacted), grant funds may be used for such meals. Unless part of a working meal, grant funds may not be used. Recurring business meetings, such as staff meetings, should not be broadly considered as working meetings in order to justify charging meals or refreshment costs to grants.

#### **RESTRICTION AGAINST VISA COSTS**

Visa costs are allowable only as a trainee/student expense or as described in the NIH Grants Policy Statement. Visa costs requested that are not for trainees are unallowable and must be rebudgeted.

#### **RESTRICTION AGAINST HONORARIA**

In accordance with the NIH Grants Policy Statement, honoraria are not allowed when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, the recipient of the honorarium. A payment for services rendered, such as a speaker's fee is allowable.

#### **FOREIGN TRAVEL**

U.S. Flag carriers must be used for departure from or entry into the U.S. and for other portions of the trip where available.

#### **RESPONSIBLE CONDUCT OF RESEARCH**

NIH policy requires instruction in responsible conduct of research by individuals supported by any NIH research training or career awards. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. NIH does not require certification of compliance or submission of documentation, but expects institutions to maintain records sufficient to demonstrate that NIH-supported trainees, fellows, and scholars have received the required instruction. Each annual progress report must include the following information about activities that took place during the past budget period:

- \* a description of the instruction in responsible conduct of research (RCR)
- \* a description of who received RCR instruction
- \* a description of any enhancements and/or modifications to the five instructional components described in the competing application or the previous year's progress report
- \* a list of names of faculty who contributed to formal instruction in RCR and the specific training they provided

More information is available in the NIH Guide Notice NOT-OD-10-019

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>

#### **ANNUAL FEDERAL FINANCIAL REPORT (STANDARD FORM 425) (NON-SNAP AWARDS)**

In accordance with the NIH Grants Policy Statement, non-SNAP awardees must submit an annual Federal Financial Reports (Form SF425) within 90 days of the end date of the calendar quarter in which the budget period ended. The Federal Financial Report (FFR) must be submitted in English, in terms of U.S. dollars and use the current rate in existence at the time it is prepared. The Federal Financial Report form is available at: <http://grants.nih.gov/grants/forms.htm> . The FFR must be submitted via the eRA Commons: <https://commons.era.nih.gov/commons/>.

Questions regarding the FFR may also be addressed here:

Contact: Shannon Hershman  
Government Accounting Branch  
Office of Financial Management  
Email:

[Shannon.Hershman@nih.gov](mailto:Shannon.Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>[Hershman@nih.gov](mailto:Hershman@nih.gov)>

Telephone: 301-402-5338

Fax: 301-402-4934

<http://ofm.od.nih.gov/fsr.asp>

#### **RESEARCH MISCONDUCT**

The regulations governing research misconduct require the grantee to submit an annual report (Form 6349) to the Office of Research Integrity (ORI) detailing aggregate information on allegations, inquiries, and investigations handled by the grantee in the previous year. ORI automatically sends this form to NIH grantees at the end of the calendar year. Any questions

regarding misconduct issues may be addressed to the office below:

Robin Parker

Assurance Program Manager

Office of Research Integrity

Rockville, MD 20852

Phone # 240-453-8402

Fax # 301-594-0042

[Robin.parker@hhs.gov](mailto:Robin.parker@hhs.gov)

<http://ori.dhhs.gov/assurance/fis.shtml>

### AUDIT REQUIREMENT

A foreign organization is required to have a non-Federal audit if:

\*It has expended a total of \$750,000 or more under one or more HHS award (as a direct grantee and/or under a consortium participant and at least one of those awards is an HHS grant).

If an audit is required, there are two options regarding the type of audit that will satisfy the audit requirements. The grantee may have EITHER:

(1) a financial-related audit (as defined in, and in accordance with, the Government Auditing Standards (commonly known as the <Yellow Book>), GPO stock 020-000- 00-265-4, of all the HHS awards

(2) an audit that meets the requirements of OMB Circular A-133.

The requirements for non-Federal audits of foreign organizations are specified in 2 CFR 200 which incorporates the thresholds and deadlines of OMB Circular A-133.

The Government Auditing Standards are available electronically at

<http://www.gao.gov/govaud/ybk01.htm>. Audits must be completed and submitted to the following office within 30 days after receipt of the auditors report(s), or 9 months after the end of the audit period, i.e., the end of the organizations fiscal year, whichever is earlier. The address is:

National External Audit Review Center

HHS Office of Audit Services

323 West 8th Street

Lucas Place, Room 514

Kansas City, MO 64105

For up-to-date information, you may access the NIH Home Page at <http://www.nih.gov/> and the FIC Home Page at <http://www.fic.nih.gov/>.

### NEW GRANT CLOSEOUT REQUIREMENTS

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In order to avoid unilateral closeout, final reports must be submitted in a timely manner. In addition to unilateral closeout, failure to submit accurate final reports could result in enforcement actions such as corrective actions, removal of authorities on active grants, and/or delay or withholding of future awards.

### 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:** Mollie Shea

**Email:** [mshea@niaid.nih.gov](mailto:mshea@niaid.nih.gov) **Phone:** 240-669-2960 **Fax:** 301-493-0597

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 5R25TW010305-04

**INSTITUTION:** YENENOYA UNIVERSITY

| Budget                     | Year 4    | Year 5    |
|----------------------------|-----------|-----------|
| Salaries and Wages         | \$76,972  | \$76,972  |
| Fringe Benefits            | \$4,000   | \$4,000   |
| Personnel Costs (Subtotal) | \$80,972  | \$80,972  |
| Consultant Services        | \$475     | \$475     |
| Materials & Supplies       | \$1,194   | \$1,194   |
| Travel                     | \$10,821  | \$10,821  |
| Other                      | \$37,037  | \$37,037  |
| Publication Costs          | \$1,000   | \$1,000   |
| Participant Subsistence    | \$17,910  | \$17,910  |
| Participant Stipends       | \$114,626 | \$114,626 |
| Participant Travel         | \$2,986   | \$2,986   |
| TOTAL FEDERAL DC           | \$267,021 | \$267,021 |
| TOTAL FEDERAL F&A          | \$21,362  | \$21,362  |
| TOTAL COST                 | \$288,383 | \$288,383 |

| Facilities and Administrative Costs | Year 4    | Year 5    |
|-------------------------------------|-----------|-----------|
| F&A Cost Rate 1                     | 8%        | 8%        |
| F&A Cost Base 1                     | \$229,984 | \$229,984 |
| F&A Costs 1                         | \$18,399  | \$18,399  |
| F&A Cost Rate 2                     | 8%        | 8%        |
| F&A Cost Base 2                     | \$37,037  | \$37,037  |
| F&A Costs 2                         | \$2,963   | \$2,963   |



FOGARTY INTERNATIONAL CENTER

**Grant Number:** 5R25TW010305-03  
**FAIN:** R25TW010305

**Principal Investigator(s):**

Bebe Loff  
Vina Vaswani (contact), MBBS

**Project Title:** Yenepoya University-Fogarty International Center Research Ethics Master's Program for India

Mr. Yenepoya, Farhaad  
Director R&F  
University Road  
Derlakatte  
Mangalore, 575018  
IND

**Award e-mailed to:** registrar@yenepoya.edu.in

**Period Of Performance:**

**Budget Period:** 09/01/2019 – 08/31/2020

**Project Period:** 09/27/2016 – 08/31/2022

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$288,383 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to YENEPOYA 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 Fogarty International Center of the National Institutes of Health under Award Number R25TW010305. 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,

BRUCE R BUTRUM  
Grants Management Officer  
FOGARTY INTERNATIONAL CENTER

Additional information follows

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**SECTION I – AWARD DATA – 5R25TW010305-03****Award Calculation (U.S. Dollars)**

|   |                  |
|---|------------------|
| Salaries and Wages                                      | \$76,972         |
| Fringe Benefits   | \$4,000          |
| Personnel Costs (Subtotal)                              | \$80,972         |
| Consultant Services                                     | \$475            |
| Materials & Supplies                                    | \$1,194          |
| Travel  | \$10,821         |
| Other   | \$37,037         |
| Publication Costs                                       | \$1,000          |
| Participant Subsistence                                 | \$17,910         |
| Participant Stipends                                    | \$114,626        |
| Participant Travel                                      | \$2,986          |
| <br>  |                  |
| Federal Direct Costs                                    | \$267,021        |
| Federal F&A Costs                                       | \$21,362         |
| Approved Budget   | \$288,383        |
| Total Amount of Federal Funds Obligated (Federal Share) | \$288,383        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                       | <b>\$288,383</b> |
| <br>  |                  |
| <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>            | <b>\$288,383</b> |

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 3                            | \$288,383  | \$288,383         |
| 4                            | \$288,383  | \$288,383         |
| 5                            | \$288,383  | \$288,383         |

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

**Fiscal Information:**

**CFDA Name:** International Research and Research Training  
**CFDA Number:** 93.989  
**EIN:** 1900217626A1  
**Document Number:** RTW010305A  
**PMS Account Type:** B (Subaccount)  
**Fiscal Year:** 2019

| IC | CAN     | 2019      | 2020      | 2021      |
|----|---------|-----------|-----------|-----------|
| TW | 8476374 | \$288,383 | \$288,383 | \$288,383 |

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

**NIH Administrative Data:**

**PCC:** BIOETH / **OC:** 415E / **Released:** BUTRUMBR 09/06/2019  
**Award Processed:** 09/09/2019 12:15:01 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25TW010305-03**

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

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**SECTION III – TERMS AND CONDITIONS – 5R25TW010305-03**

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) R25TW010305. 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



## **INTEREST EARNED ON ADVANCES OF GRANT FUNDS**

NIH grantee subject to the requirements of 2 CFR part 200 that receives advance payments must maintain those advances in an interest-bearing account (2 CFR 200.305.8). The timing and amount of cash advances shall be as close as is administratively feasible to the actual disbursements by the recipient organization for direct program or project costs. However, any interest on Federal advances of grant funds that exceeds US\$500 per year in the aggregate must be remitted annually to the Department of Health and Human Services, Payment Management System, PO Box 6021, Rockville, MD 20852 (as the government-wide agent for collection). Interest amounts up to US\$500 per year may be retained by the recipient for administrative expenses (2 CFR 200.305.9).

## **HUMAN SUBJECT AND ANIMAL RESEARCH INFORMATION FOR TRAINING GRANTS**

FIC funded research must have the appropriate required NIH and HHS assurances before any research or research training involving human subjects begins. These assurances apply to all research grants, any research supported by training grants (including re-entry support for foreign scientists), and research supported under a cooperative agreement. All human subjects research projects must have had a scientific review either by a peer review panel or by another independent review mechanism. Activity in which human subjects are involved may be undertaken if the institution has an active FWA assurance and if the project has been reviewed and approved by the appropriate Institutional Review Board (IRB). Activity in which Animal Research will be conducted may only be undertaken if the institution has an active Animal Assurance on file with the NIH Office of Laboratory Animal Welfare (OLAW).

**Grant recipients must provide human subjects and IRB approval information in Section B.6 and Section B.7. for Vertebrate Animals provide the IACUC approval. "Special NOA terms and FOA reporting requirements" of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage: <http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>**

## **UNIFORM GRANT GUIDANCE AND REVISED NIH GRANTS POLICY STATEMENT**

Per Notice Number [NOT-OD-15-046](#), the Department of Health and Human Services published an interim rule adapting OMB's final Uniform Grant Guidance in 2 CFR part 200 with certain amendments, based on existing HHS regulations, to supplement the guidance as needed for the Department effective December 26, 2014. Per [NOT-OD-18-005](#) a revised NIH Grants Policy Statement was published; the revision is applicable to all NIH grants and cooperative agreements with budget periods beginning on or after October 1, 2017. Links to the revised Grants Policy Statement and a document summarizing the significant changes that were implemented are provided in the Notice

Highlighted below are some select items of costs of particular note to FIC grant recipients:

- **F&A for Foreign and International Organizations:** NIH and FIC continue to provide F&A costs under grants to foreign and international organizations will be funded at a rate of 8 percent of modified total direct costs, exclusive of equipment, consistent with existing policy.
- **F&A for Career/Fellowship/Training Awards:** NIH and FIC continue to provide F&A costs under research training, some education grants, and Career (K) awards will be funded at a rate of 8 percent of modified total direct costs, exclusive of tuition and fees, health insurance (when awarded as part of tuition and fees), equipment, and consortiums in excess of \$25,000, consistent with existing policy.
- **Value Added Tax:** Foreign taxes charged for the purchase of goods or services that a non-Federal entity is legally required to pay in country is an allowable expense under Federal awards. However, for many countries an exemption of this tax for research exists. Consequently, requesting this cost should be unallowable for research grants involving such countries as a performance site.
- **Visa Costs:** Allowable as a direct cost as part of recruiting costs on an NIH grant. Allowable as a trainee cost and not allowable for other non-trainee project personnel, consistent with existing FIC policy.

## **eRA Commons User IDs to Individuals in Graduate and Undergraduate Student Project Roles with Measurable Effort on an NIH Annual Progress Report**

In accordance with [NOT-OD-13-097](#), any trainee or individual with an Undergraduate, Graduate Student, and/or Postdoctoral Role who participates in an NIH-funded project for at least one person month (160 hours) or more training in the reporting period must be registered in the eRA Commons. This is required regardless of whether salary is actually charged to the project.

**Grant recipients must provide the list in Section D.1 of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage: <http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>**

#### **CHANGES IN SCOPE**

Prior approval must be obtained from the NIH awarding component for any changes in the direction, type of research or training, the use of human or animal subjects, or other areas that constitute a significant change from the aims, objectives, purpose, or scope of the approved project.

#### **F&A COSTS**

Limited F&A of 8% for administrative costs is provided to support the administrative needs of managing this project. F&A charges are limited to eight percent for both domestic and foreign research training partners. Consortia institutions also may only charge eight percent of applicable direct costs for F&A.

#### **RESTRICTION AGAINST MEAL COSTS**

In accordance with the NIH Grants Policy Statement, when certain meals are an integral and necessary part of a meeting or conference (i.e., a working meal where business is transacted), grant funds may be used for such meals. Unless part of a working meal, grant funds may not be used. Recurring business meetings, such as staff meetings, should not be broadly considered as working meetings in order to justify charging meals or refreshment costs to grants.

#### **RESTRICTION AGAINST VISA COSTS**

Visa costs are allowable only as a trainee/student expense or as described in the NIH Grants Policy Statement. Visa costs requested that are not for trainees are unallowable and must be re-budgeted.

#### **RESTRICTION AGAINST HONORARIA**

In accordance with the NIH Grants Policy Statement, honoraria are not allowed when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, the recipient of the honorarium. A payment for services rendered, such as a speaker's fee is allowable.

#### **FOREIGN TRAVEL**

U.S. Flag carriers must be used for departure from or entry into the U.S. and for other portions of the trip where available.

#### **RESPONSIBLE CONDUCT OF RESEARCH**

NIH policy requires instruction in responsible conduct of research by individuals supported by any NIH research training or career awards. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. NIH does not require certification of compliance or submission of documentation, but expects institutions to maintain records sufficient to demonstrate that NIH-supported trainees, fellows, and scholars have received the required instruction.

Each annual progress report must include the following information about activities that took place during the past budget period:

- \* a description of the instruction in responsible conduct of research (RCR)
- \* a description of who received RCR instruction
- \* a description of any enhancements and/or modifications to the five instructional components described in the competing application or the previous year's progress report
- \* a list of names of faculty who contributed to formal instruction in RCR and the specific training they provided

More information is available in the NIH Guide Notice NOT-OD-10-019

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>

#### **ANNUAL FEDERAL FINANCIAL REPORT (STANDARD FORM 425) (NON-SNAP AWARDS)**





periods), new HHS policy stipulates that the NIH must initiate unilateral closeout (i.e. Closeout without the receipt of acceptable final reports).

Unilateral closeout may include unilateral financial closeout using the last recorded cash drawdown level in the Payment Management System. If the grantee submits a final expenditure FFR but has not reconciled any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH is required to close the award at the lower amount. (This could be considered a debt or result in disallowed costs.) **\*\*\*This means your institution may lose and have to repay to the Federal Government, any funds associated with the un-reconciled costs.\*\*\***

In order to avoid unilateral closeout, final reports must be submitted in a timely manner. In addition to unilateral closeout, failure to submit accurate final reports could result in enforcement actions such as corrective actions, removal of authorities on active grants, and/or delay or withholding of future awards.

## 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:** Mollie Shea

**Email:** mshea@niaid.nih.gov **Phone:** 240-669-2960 **Fax:** 301-493-0597

**Program Official:** Barbara J Sina

**Email:** barbara.sina@nih.gov **Phone:** 301-402-9467 **Fax:** 301-402-0779

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 5R25TW010305-03

**INSTITUTION:** YENEPOYA UNIVERSITY

| Budget                     | Year 3    | Year 4    | Year 5    |
|----------------------------|-----------|-----------|-----------|
| Salaries and Wages         | \$76,972  | \$76,972  | \$76,972  |
| Fringe Benefits            | \$4,000   | \$4,000   | \$4,000   |
| Personnel Costs (Subtotal) | \$80,972  | \$80,972  | \$80,972  |
| Consultant Services        | \$475     | \$475     | \$475     |
| Materials & Supplies       | \$1,194   | \$1,194   | \$1,194   |
| Travel                     | \$10,821  | \$10,821  | \$10,821  |
| Other                      | \$37,037  | \$37,037  | \$37,037  |
| Publication Costs          | \$1,000   | \$1,000   | \$1,000   |
| Participant Subsistence    | \$17,910  | \$17,910  | \$17,910  |
| Participant Stipends       | \$114,626 | \$114,626 | \$114,626 |
| Participant Travel         | \$2,986   | \$2,986   | \$2,986   |
| TOTAL FEDERAL DC           | \$267,021 | \$267,021 | \$267,021 |
| TOTAL FEDERAL F&A          | \$21,362  | \$21,362  | \$21,362  |
| TOTAL COST                 | \$288,383 | \$288,383 | \$288,383 |

| Facilities and Administrative Costs | Year 3    | Year 4    | Year 5    |
|-------------------------------------|-----------|-----------|-----------|
| F&A Cost Rate 1                     | 8%        | 8%        | 8%        |
| F&A Cost Base 1                     | \$229,984 | \$229,984 | \$229,984 |
| F&A Costs 1                         | \$18,399  | \$18,399  | \$18,399  |
| F&A Cost Rate 2                     | 8%        | 8%        | 8%        |

|                 |          |          |          |
|-----------------|----------|----------|----------|
| F&A Cost Base 2 | \$37,037 | \$37,037 | \$37,037 |
| F&A Costs 2     | \$2,963  | \$2,963  | \$2,963  |



FOGARTY INTERNATIONAL CENTER

**Grant Number:** 5R25TW010305-02  
**FAIN:** R25TW010305

**Principal Investigator(s):**

Bebe Loff  
Vina Vaswani (contact), MBBS

**Project Title:** Yenepoya University-Fogarty International Center Research Ethics Master's Program for India

Mr. Yenepoya, Farhaad  
Director R&F  
University Road  
Derlakatte  
Mangalore, 575018  
IND

**Award e-mailed to:** registrar@yenepoya.edu.in

**Period Of Performance:**

**Budget Period:** 09/01/2018 – 08/31/2019

**Project Period:** 09/27/2016 – 08/31/2022

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$288,383 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to YENEPOYA 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 Fogarty International Center of the National Institutes of Health under Award Number R25TW010305. 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,

BRUCE R BUTRUM  
Grants Management Officer  
FOGARTY INTERNATIONAL CENTER

Additional information follows

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**SECTION I – AWARD DATA – 5R25TW010305-02****Award Calculation (U.S. Dollars)**

|   |                  |
|---|------------------|
| Salaries and Wages                                      | \$76,972         |
| Fringe Benefits   | \$4,000          |
| Personnel Costs (Subtotal)                              | \$80,972         |
| Consultant Services                                     | \$475            |
| Materials & Supplies                                    | \$1,194          |
| Travel  | \$10,821         |
| Other   | \$37,037         |
| Publication Costs                                       | \$1,000          |
| Participant Subsistence                                 | \$17,910         |
| Participant Stipends                                    | \$114,626        |
| Participant Travel                                      | \$2,986          |
| <br>  |                  |
| Federal Direct Costs                                    | \$267,021        |
| Federal F&A Costs                                       | \$21,362         |
| Approved Budget   | \$288,383        |
| Total Amount of Federal Funds Obligated (Federal Share) | \$288,383        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                       | <b>\$288,383</b> |
| <br>  |                  |
| <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>            | <b>\$288,383</b> |

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 2                            | \$288,383  | \$288,383         |
| 3                            | \$288,383  | \$288,383         |
| 4                            | \$288,383  | \$288,383         |
| 5                            | \$288,383  | \$288,383         |

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

**Fiscal Information:**

**CFDA Name:** International Research and Research Training  
**CFDA Number:** 93.989  
**EIN:** 1900217626A1  
**Document Number:** RTW010305A  
**PMS Account Type:** B (Subaccount)  
**Fiscal Year:** 2018

| IC | CAN     | 2018      | 2019      | 2020      | 2021      |
|----|---------|-----------|-----------|-----------|-----------|
| TW | 8476374 | \$288,383 | \$288,383 | \$288,383 | \$288,383 |

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

**NIH Administrative Data:**

**PCC:** BIOETH / **OC:** 415E / **Released:** BUTRUMBR 09/06/2018  
**Award Processed:** 09/08/2018 12:06:13 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R25TW010305-02**

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

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**SECTION III – TERMS AND CONDITIONS – 5R25TW010305-02**

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:

- 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.
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Prior approval must be obtained from the NIH awarding component for any changes in the direction, type of research or training, the use of human or animal subjects, or other areas that constitute a significant change from the aims, objectives, purpose, or scope of the approved project.

### **F&A COSTS**

Limited F&A of 8% for administrative costs is provided to support the administrative needs of managing this project. F&A charges are limited to eight percent for both domestic and foreign research training partners. Consortia institutions also may only charge eight percent of applicable direct costs for F&A.

### **RESTRICTION AGAINST MEAL COSTS**

In accordance with the NIH Grants Policy Statement, when certain meals are an integral and necessary part of a meeting or conference (i.e., a working meal where business is transacted), grant funds may be used for such meals. Unless part of a working meal, grant funds may not be used. Recurring business meetings, such as staff meetings, should not be broadly considered as working meetings in order to justify charging meals or refreshment costs to grants.

### **RESTRICTION AGAINST VISA COSTS**

Visa costs are allowable only as a trainee/student expense or as described in the NIH Grants Policy Statement. Visa costs requested that are not for trainees are unallowable and must be re-budgeted.

### **RESTRICTION AGAINST HONORARIA**

In accordance with the NIH Grants Policy Statement, honoraria are not allowed when the primary intent is to confer distinction on, or to symbolize respect, esteem, or admiration for, the recipient of the honorarium. A payment for services rendered, such as a speaker's fee is allowable.

### **FOREIGN TRAVEL**

U.S. Flag carriers must be used for departure from or entry into the U.S. and for other portions of the trip where available.

### **RESPONSIBLE CONDUCT OF RESEARCH**

NIH policy requires instruction in responsible conduct of research by individuals supported by any NIH research training or career awards. It is expected that course attendance is monitored and that a certificate or documentation of participation is available upon course completion. NIH does not require certification of compliance or submission of documentation, but expects institutions to maintain records sufficient to demonstrate that NIH-supported trainees, fellows, and scholars have received the required instruction.

Each annual progress report must include the following information about activities that took place during the past budget period:

- \* a description of the instruction in responsible conduct of research (RCR)
- \* a description of who received RCR instruction
- \* a description of any enhancements and/or modifications to the five instructional components described in the competing application or the previous year's progress report
- \* a list of names of faculty who contributed to formal instruction in RCR and the specific training they provided

More information is available in the NIH Guide Notice NOT-OD-10-019

<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-10-019.html>



periods), new HHS policy stipulates that the NIH must initiate unilateral closeout (i.e. Closeout without the receipt of acceptable final reports).

Unilateral closeout may include unilateral financial closeout using the last recorded cash drawdown level in the Payment Management System. If the grantee submits a final expenditure FFR but has not reconciled any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH is required to close the award at the lower amount. (This could be considered a debt or result in disallowed costs.) **\*\*\*This means your institution may lose and have to repay to the Federal Government, any funds associated with the un-reconciled costs.\*\*\***

In order to avoid unilateral closeout, final reports must be submitted in a timely manner. In addition to unilateral closeout, failure to submit accurate final reports could result in enforcement actions such as corrective actions, removal of authorities on active grants, and/or delay or withholding of future awards.

## 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:** Mollie Shea

**Email:** mshea@niaid.nih.gov **Phone:** 240-669-2960 **Fax:** 301-493-0597

**Program Official:** Barbara J Sina

**Email:** barbara.sina@nih.gov **Phone:** 301-402-9467 **Fax:** 301-402-0779

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 5R25TW010305-02

**INSTITUTION:** YENEPLOYA UNIVERSITY

| Budget                     | Year 2    | Year 3    | Year 4    | Year 5    |
|----------------------------|-----------|-----------|-----------|-----------|
| Salaries and Wages         | \$76,972  | \$76,972  | \$76,972  | \$76,972  |
| Fringe Benefits            | \$4,000   | \$4,000   | \$4,000   | \$4,000   |
| Personnel Costs (Subtotal) | \$80,972  | \$80,972  | \$80,972  | \$80,972  |
| Consultant Services        | \$475     | \$475     | \$475     | \$475     |
| Materials & Supplies       | \$1,194   | \$1,194   | \$1,194   | \$1,194   |
| Travel                     | \$10,821  | \$10,821  | \$10,821  | \$10,821  |
| Other                      | \$37,037  | \$37,037  | \$37,037  | \$37,037  |
| Publication Costs          | \$1,000   | \$1,000   | \$1,000   | \$1,000   |
| Participant Subsistence    | \$17,910  | \$17,910  | \$17,910  | \$17,910  |
| Participant Stipends       | \$114,626 | \$114,626 | \$114,626 | \$114,626 |
| Participant Travel         | \$2,986   | \$2,986   | \$2,986   | \$2,986   |
| TOTAL FEDERAL DC           | \$267,021 | \$267,021 | \$267,021 | \$267,021 |
| TOTAL FEDERAL F&A          | \$21,362  | \$21,362  | \$21,362  | \$21,362  |
| TOTAL COST                 | \$288,383 | \$288,383 | \$288,383 | \$288,383 |

| Facilities and Administrative Costs | Year 2    | Year 3    | Year 4    | Year 5    |
|-------------------------------------|-----------|-----------|-----------|-----------|
| F&A Cost Rate 1                     | 8%        | 8%        | 8%        | 8%        |
| F&A Cost Base 1                     | \$229,984 | \$229,984 | \$229,984 | \$229,984 |
| F&A Costs 1                         | \$18,399  | \$18,399  | \$18,399  | \$18,399  |

|                 |          |          |          |          |
|-----------------|----------|----------|----------|----------|
| F&A Cost Rate 2 | 8%       | 8%       | 8%       | 8%       |
| F&A Cost Base 2 | \$37,037 | \$37,037 | \$37,037 | \$37,037 |
| F&A Costs 2     | \$2,963  | \$2,963  | \$2,963  | \$2,963  |





FOGARTY INTERNATIONAL CENTER

**Grant Number:** 1R25TW010305-01 REVISED  
**FAIN:** R25TW010305

**Principal Investigator(s):**

Bebe Loff  
Vina Vaswani (contact), MBBS

**Project Title:** Yenepoya University-Fogarty International Center Research Ethics Master's Program for India

Mr. Yenepoya, Farhaad  
Director R&F  
University Road  
Derlakatte  
Mangalore, 575018  
IND

**Award e-mailed to:** registrar@yenepoya.edu.in

**Period Of Performance:**

**Budget Period:** 09/27/2016 – 08/31/2018

**Project Period:** 09/27/2016 – 08/31/2021

Dear Business Official:

The National Institutes of Health hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to YENEPOYA 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 Fogarty International Center of the National Institutes of Health under Award Number R25TW010305. 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,

Mollie Shea  
Grants Management Officer  
FOGARTY INTERNATIONAL CENTER

Additional information follows

**SECTION I – AWARD DATA – 1R25TW010305-01 REVISED****Award Calculation (U.S. Dollars)**

|   |                  |
|---|------------------|
| Salaries and Wages                                      | \$81,972         |
| Fringe Benefits   | \$18,000         |
| Personnel Costs (Subtotal)                              | \$99,972         |
| Consultant Services                                     | \$475            |
| Equipment   | \$5,000          |
| Materials & Supplies                                    | \$597            |
| Travel  | \$11,866         |
| Other   | \$49,022         |
| Publication Costs                                       | \$1,000          |
| Participant Subsistence                                 | \$8,955          |
| Participant Stipends                                    | \$57,313         |
| Participant Travel                                      | \$1,493          |
| Participant Other                                       | \$31,343         |
| <br>  |                  |
| Federal Direct Costs                                    | \$267,036        |
| Federal F&A Costs                                       | \$20,963         |
| Approved Budget   | \$287,999        |
| Total Amount of Federal Funds Obligated (Federal Share) | \$287,999        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                       | <b>\$287,999</b> |

**AMOUNT OF THIS ACTION (FEDERAL SHARE) \$0**

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 1                            | \$287,999  | \$287,999         |
| 2                            | \$288,383  | \$288,383         |
| 3                            | \$288,383  | \$288,383         |
| 4                            | \$288,383  | \$288,383         |
| 5                            | \$288,383  | \$288,383         |

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

**Fiscal Information:**

**CFDA Name:** International Research and Research Training  
**CFDA Number:** 93.989  
**EIN:** 1900217626A1  
**Document Number:** RTW010305A  
**PMS Account Type:** B (Subaccount)  
**Fiscal Year:** 2016

| IC | CAN     | 2016      | 2018      | 2019      | 2020      | 2021      |
|----|---------|-----------|-----------|-----------|-----------|-----------|
| TW | 8476374 | \$287,999 | \$288,383 | \$288,383 | \$288,383 | \$288,383 |

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

**NIH Administrative Data:**

**PCC:** BIOETH / **OC:** 415A / **Released:** MSHEA 12/11/2017  
**Award Processed:** 12/12/2017 12:01:54 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R25TW010305-01 REVISED**

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 – 1R25TW010305-01 REVISED**

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) R25TW010305. 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

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**SECTION IV – TW Special Terms and Conditions – 1R25TW010305-01 REVISED**

**REVISED AWARD--**

**This award is revised to lift funding restrictions. The revised budget with budget justification dated November 27, 2017 is incorporated herein by reference and no grant funds may be used for the LCD Projector, voting system and printer or for an Outreach Innovation Program.**

**Supersedes the Notice of Award (NoA) issued: 09/14/2017.**

\*\*\*\*\*

**01-YEAR EXTENSION**

**The 01 year is being extended 12 months due to lack of activity from the initial award (01 year). The Grantee has access and can use FY16 funds from the 01 year during this extension.**

**The following term is added:**

**KEY PERSONNEL**

For purposes of this award the following person(s) are considered key personnel in addition to the PI(s) already named on this Notice of Award. All policies that apply to the PI(s) (e.g. the requirement to obtain NIH prior approval for personnel changes and to supply information about other support with each progress report) are hereby applied to the following person(s):

**Bebe Loff, Ph.D., Monash, Australia**

In addition to the PI, any absence, replacement, or substantial reduction in effort of the individual(s), requires the written prior approval of the National Institutes of Health awarding component.

\*\*\*\*\*

**REVISED AWARD --**

**This award is revised to lift funding restrictions for Monash University, Australia, Dr. Bebe Loff, total costs, \$40,000**

**A revised Leadership Plan, Updated Other Support for Drs. Vaswani and Loff, and budget justification for Dr. Bebe Loff, Monash University for \$40,000 total costs and the Indian Government's approval of the Master's Program Curriculum have been received and approved.**

**Supersedes the Notice of Award (NoA) issued: 09/26/2016.**

\*\*\*\*\*

**FUNDING LEVEL**

Direct costs are awarded based on the IRG/FIC Advisory Board recommended level. Your institution may re-budget in accordance with the NIH Grants Policy Statement to best utilize the funds.

**FUNDING ANNOUNCEMENT**

This award is subject to the conditions set forth in PAR-TW-13-027: RFA International Research Ethics Education and Curriculum Development Award (R25). The RFA can be found at: <http://grants.nih.gov/grants/guide/pa-files/PAR-13-027.html>





OMB's final Uniform Grant Guidance in 2 CFR part 200 with certain amendments, based on existing HHS regulations, to supplement the guidance as needed for the Department effective December 26, 2014. Additional final guidance from HHS and NIH is anticipated and will be distributed once available.

Per NOT-OD-15-087 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-15-087.html>) a revised NIH Grants Policy Statement was published on March 31, 2015. Links to the revised Grants Policy Statement and a document summarizing the significant changes that were implemented are provided in the Notice.

Highlighted below are some select items of costs of particular note to FIC grant recipients:

- **F&A for Foreign and International Organizations:** NIH and FIC continue to provide F&A costs under grants to foreign and international organizations will be funded at a rate of 8 percent of modified total direct costs, exclusive of equipment, consistent with existing policy.
- **F&A for Career/Fellowship/Training Awards:** NIH and FIC continue to provide F&A costs under research training, some education grants, and Career (K) awards will be funded at a rate of 8 percent of modified total direct costs, exclusive of tuition and fees, health insurance (when awarded as part of tuition and fees), equipment, and consortiums in excess of \$25,000, consistent with existing policy.
- **Value Added Tax:** Foreign taxes charged for the purchase of goods or services that a non-Federal entity is legally required to pay in country is an allowable expense under Federal awards. However, for many countries an exemption of this tax for research exists. Consequently, requesting this cost should be unallowable for research grants involving such countries as a performance site.
- **Visa Costs:** Allowable as a direct cost as part of recruiting costs on an NIH grant. Allowable as a trainee cost and not allowable for other non-trainee project personnel, consistent with existing FIC policy.

#### **eRA Commons User IDs to Individuals in Graduate and Undergraduate Student Project Roles with Measurable Effort on an NIH Annual Progress Report**

In accordance with [NOT-OD-13-097](#), any trainee or individual with an Undergraduate, Graduate Student, and/or Postdoctoral Role who participates in an NIH-funded project for at least one person month (160 hours) or more training in the reporting period must be registered in the eRA Commons. This is required regardless of whether salary is actually charged to the project.

**Grant recipients must provide the list in Section D.1 of the RPPR for each trainee/scholar supported by the grant award during the reporting period. Additional information on this requirement can be found in the FIC Progress Report Supplemental Guidance on the FIC webpage: <http://www.fic.nih.gov/Grants/Pages/progress-reports.aspx>**

#### **CHANGES IN SCOPE**

Prior approval must be obtained from the NIH awarding component for any changes in the direction, type of research or training, the use of human or animal subjects, or other areas that constitute a significant change from the aims, objectives, purpose, or scope of the approved project.

#### **F&A COSTS**

Limited F&A of 8% for administrative costs is provided to support the administrative needs of managing this project. F&A charges are limited to eight percent for both domestic and foreign research training partners. Consortia institutions also may only charge eight percent of applicable direct costs for F&A.

#### **RESTRICTION AGAINST MEAL COSTS**

In accordance with the NIH Grants Policy Statement, when certain meals are an integral and necessary part of a meeting or conference (i.e., a working meal where business is transacted), grant funds may be used for such meals. Unless part of a working meal, grant funds may not be used. Recurring business meetings, such as staff meetings, should not be broadly considered as working meetings in order to justify charging meals or refreshment costs to grants.

#### **RESTRICTION AGAINST VISA COSTS**

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**WELWAG [For all First-time grantee organizations)**

First-time NIH grantee organizations can find information about funding, policy, and administrative issues by visiting our "Welcome Wagon letter"

(<http://grants.nih.gov/grants/funding/welcomewagon.htm>).

**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:** Mollie Shea

**Email:** mshea@niaid.nih.gov **Phone:** 240-669-2960 **Fax:** 301-493-0597

**Program Official:** Barbara J Sina

**Email:** barbara.sina@nih.gov **Phone:** 301-402-9467 **Fax:** 301-402-0779

**SPREADSHEET SUMMARY**

**GRANT NUMBER:** 1R25TW010305-01 REVISED

**INSTITUTION:** YENEPOYA UNIVERSITY

| Budget                     | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|----------------------------|-----------|-----------|-----------|-----------|-----------|
| Salaries and Wages         | \$81,972  | \$76,972  | \$76,972  | \$76,972  | \$76,972  |
| Fringe Benefits            | \$18,000  | \$4,000   | \$4,000   | \$4,000   | \$4,000   |
| Personnel Costs (Subtotal) | \$99,972  | \$80,972  | \$80,972  | \$80,972  | \$80,972  |
| Consultant Services        | \$475     | \$475     | \$475     | \$475     | \$475     |
| Equipment                  | \$5,000   |           |           |           |           |
| Materials & Supplies       | \$597     | \$1,194   | \$1,194   | \$1,194   | \$1,194   |
| Travel                     | \$11,866  | \$10,821  | \$10,821  | \$10,821  | \$10,821  |
| Other                      | \$49,022  | \$37,037  | \$37,037  | \$37,037  | \$37,037  |
| Publication Costs          | \$1,000   | \$1,000   | \$1,000   | \$1,000   | \$1,000   |
| Participant Subsistence    | \$8,955   | \$17,910  | \$17,910  | \$17,910  | \$17,910  |
| Participant Stipends       | \$57,313  | \$114,626 | \$114,626 | \$114,626 | \$114,626 |
| Participant Travel         | \$1,493   | \$2,986   | \$2,986   | \$2,986   | \$2,986   |
| Participant Other          | \$31,343  |           |           |           |           |
| TOTAL FEDERAL DC           | \$267,036 | \$267,021 | \$267,021 | \$267,021 | \$267,021 |
| TOTAL FEDERAL F&A          | \$20,963  | \$21,362  | \$21,362  | \$21,362  | \$21,362  |
| TOTAL COST                 | \$287,999 | \$288,383 | \$288,383 | \$288,383 | \$288,383 |

| Facilities and Administrative Costs | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|-------------------------------------|-----------|-----------|-----------|-----------|-----------|
| F&A Cost Rate 1                     | 8%        | 8%        | 8%        | 8%        | 8%        |
| F&A Cost Base 1                     | \$224,999 | \$229,984 | \$229,984 | \$229,984 | \$229,984 |
| F&A Costs 1                         | \$18,000  | \$18,399  | \$18,399  | \$18,399  | \$18,399  |
| F&A Cost Rate 2                     | 8%        | 8%        | 8%        | 8%        | 8%        |
| F&A Cost Base 2                     | \$37,037  | \$37,037  | \$37,037  | \$37,037  | \$37,037  |
| F&A Costs 2                         | \$2,963   | \$2,963   | \$2,963   | \$2,963   | \$2,963   |