



<p><b>Recipient Information</b></p> <p><b>1. Recipient Name</b> UNIVERSITY 123 MAIN STREET NEW YORK, NY 11111</p> <p><b>2. Congressional District of Recipient</b> 03</p> <p><b>3. Payment System Identifier (ID)</b> 1310000000A1</p> <p><b>4. Employer Identification Number (EIN)</b> 316000000</p> <p><b>5. Data Universal Numbering System (DUNS)</b> 830000000</p> <p><b>6. Recipient's Unique Entity Identifier</b> DLWBSLW</p> <p><b>7. Project Director or Principal Investigator</b> HARRY POTTER, OD (Contact) potterh@university.edu 614-555-5555</p> <p><b>8. Authorized Official</b> Hermione Granger</p>	<p><b>Federal Award Information</b></p> <p><b>11. Award Number</b> 1R34EY000000-01</p> <p><b>12. Unique Federal Award Identification Number (FAIN)</b> R34EY000000</p> <p><b>13. Statutory Authority</b> 42 USC 241 42 CFR 52</p> <p><b>14. Federal Award Project Title</b> Eye conditions Evaluation</p> <p><b>15. Assistance Listing Number</b> 93.867</p> <p><b>16. Assistance Listing Program Title</b> Vision Research</p> <p><b>17. Award Action Type</b> New Competing</p> <p><b>18. Is the Award R&amp;D?</b> Yes</p>																								
<p><b>Federal Agency Information</b></p> <p><b>9. Awarding Agency Contact Information</b> RONALD B Weasley NATIONAL INSTITUTES OF HEALTH test@nih.gov 301-555-5555</p> <p><b>10. Program Official Contact Information</b> DEAN Thomas NATIONAL INSTITUTES OF HEALTH sample@nih.gov (301) 555-5555</p>	<p><b>Summary Federal Award Financial Information</b></p> <table border="1"> <tr> <td colspan="2"><b>19. Budget Period Start Date 03/01/2024 – End Date 02/28/2025</b></td> </tr> <tr> <td><b>20. Total Amount of Federal Funds Obligated by this Action</b></td> <td style="text-align: right;">\$267,006</td> </tr> <tr> <td>    20 a. Direct Cost Amount</td> <td style="text-align: right;">\$204,400</td> </tr> <tr> <td>    20 b. Indirect Cost Amount</td> <td style="text-align: right;">\$62,606</td> </tr> <tr> <td><b>21. Authorized Carryover</b></td> <td></td> </tr> <tr> <td><b>22. Offset</b></td> <td></td> </tr> <tr> <td><b>23. Total Amount of Federal Funds Obligated this budget period</b></td> <td style="text-align: right;">\$267,006</td> </tr> <tr> <td><b>24. Total Approved Cost Sharing or Matching, where applicable</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>25. Total Federal and Non-Federal Approved this Budget Period</b></td> <td style="text-align: right;">\$267,006</td> </tr> <tr> <td colspan="2">-----</td> </tr> <tr> <td colspan="2"><b>26. Project Period Start Date 03/01/2024 – End Date 02/28/2026</b></td> </tr> <tr> <td><b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b></td> <td style="text-align: right;">\$267,006</td> </tr> </table> <p><b>28. Authorized Treatment of Program Income</b> Additional Costs</p> <p><b>29. Grants Management Officer - Signature</b> Karen Robinson-Smith</p>	<b>19. Budget Period Start Date 03/01/2024 – End Date 02/28/2025</b>		<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$267,006	20 a. Direct Cost Amount	\$204,400	20 b. Indirect Cost Amount	\$62,606	<b>21. Authorized Carryover</b>		<b>22. Offset</b>		<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$267,006	<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0	<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$267,006	-----		<b>26. Project Period Start Date 03/01/2024 – End Date 02/28/2026</b>		<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b>	\$267,006
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CLINICAL TRIAL PLANNING GRANT  
Department of Health and Human Services  
National Institutes of Health

Notice of Award



NATIONAL INSTITUTES OF HEALTH

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**SECTION I – AWARD DATA – 1R34EY000000-01**

**Principal Investigator(s):**

ALASTOR MOODY, OD  
Remus Lupin  
HARRY POTTER (contact), OD  
Minerva McGonagall, MD

**Award e-mailed to:** NIHaward@university.edu

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$267,006 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 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 National Institutes of Health under Award Number R34EY000000. 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,

Sybill Trelawney  
Grants Management Officer  
NATIONAL INSTITUTES OF HEALTH

Additional information follows

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

<b>Federal Direct Costs</b>	\$204,400
<b>Federal F&amp;A Costs</b>	\$62,606
<b>Approved Budget</b>	\$267,006
<b>Total Amount of Federal Funds Authorized (Federal Share)</b>	\$267,006
<b>TOTAL FEDERAL AWARD AMOUNT</b>	\$267,006
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	\$267,006

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$267,006	\$267,006
2	\$236,650	\$236,650

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

**Fiscal Information:**

**Payment System Identifier:** 1310000000A1  
**Document Number:** REY000000A P  
**PMS Account Type:** (Subaccount)  
**Fiscal Year:** 2024

IC	CAN	2024	2025
EY	8472436	\$267,006	\$236,650

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

**NIH Administrative Data:**

**PCC:** 5C /JTL / **OC:** 41021 / **Released:** Trelawney, Sybill 02/13/2024  
**Award Processed:** 02/21/2024 12:12:49 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R34EY000000-01**

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

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**SECTION III – STANDARD TERMS AND CONDITIONS – 1R34EY000000-01**

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

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy

- Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
  - f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

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

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

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

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

This award is subject to the requirements of 2 CFR Part 25 for institutions to obtain a unique entity identifier (UEI) and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a UEI 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) R34EY035783. 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/>.

Recipients must administer the project in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age, and comply with applicable conscience protections. The recipient will comply with applicable laws that prohibit discrimination on the basis of sex, which includes discrimination on the basis of gender identity, sexual orientation, and pregnancy. Compliance with these laws requires taking reasonable steps to provide meaningful access to persons with limited English proficiency and providing programs that are accessible to and usable by persons with disabilities. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See <https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html> and <https://www.hhs.gov/>.

- Recipients of FFA must ensure that their programs are accessible to persons with limited English

proficiency. For guidance on meeting the legal obligation to take reasonable steps to ensure meaningful access to programs or activities by limited English proficient individuals, see <https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html> and <https://www.lep.gov>.

- For information on an institution's specific legal obligations for serving qualified individuals with disabilities, including providing program access, reasonable modifications, and to provide effective communication, see <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>.
- HHS funded health and education programs must be administered in an environment free of sexual harassment; see <https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html>. For information about NIH's commitment to supporting a safe and respectful work environment, who to contact with questions or concerns, and what NIH's expectations are for institutions and the individuals supported on NIH-funded awards, please see <https://grants.nih.gov/grants/policy/harassment.htm>.
- For guidance on administering programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws, see <https://www.hhs.gov/conscience/conscience-protections/index.html> and <https://www.hhs.gov/conscience/religious-freedom/index.html>.

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 – EY SPECIFIC AWARD CONDITIONS – 1R34EY00000-01**

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.

**SPECIAL TERMS AND CONDITIONS**

Only activities that do not directly involve human subjects (i.e., are clearly severable and independent from those activities that do involve human subjects) may be conducted under this award until sIRB determination has been obtained for this project.

**MODULAR GRANTS**

This is a Modular Grant Award without direct cost categorical breakdowns issued in accordance with the guidelines published in the NIH Grants Policy Statement at: <http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>. Recipients are required to allocate and account for costs related to this award by category within their institutional accounting system in accordance with applicable cost principles.

**PROTECTION OF HUMAN SUBJECTS – COMMON RULE:**

This award includes human subject research studies and must conform to the DHHS policies for the [Protection of Human Subjects](#) research, which are a term

and condition of award. Human subjects research is covered by the 2018 Common Rule, and may not be initiated until the associated protocols have received IRB approval as specified in [45 CFR 46](#). Failure to comply with the terms and conditions of award may result in the disallowance of costs and/or additional enforcement actions as outlined in Section 8.5 of the NIH Grants Policy Statement. (Notice Number: [NOT-OD-19-050](#))

## **CONSORTIUM**

This award includes funds awarded for consortium activity with:

**Medical University**  
**Hospital University**  
**University of Medicine**

Consortiums are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at:

<http://grants.nih.gov/grants/policy/nihgps/index.htm>

## **OTHER SUPPORT REMINDER:**

**INFORMATION:** This award is contingent upon the following: No individual who receives salary support from this project may receive compensation for more than 12 calendar months (i.e., 100%) total effort from all of their sources of support.

**SALARY CAP** None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the applicable salary cap. Therefore, this award and/or future years are adjusted accordingly, if applicable.

Current salary cap levels can be found at the following

URL: [https://grants.nih.gov/grants/policy/salcap\\_summary.htm](https://grants.nih.gov/grants/policy/salcap_summary.htm)

## **REMINDER – ADMINISTRATIVE SUPPLEMENT SUBMISSION**

As of July 25, 2020, grantees who submit administrative supplement applications to single and multi-project awards must submit electronically through Grants.gov using NIH ASSIST, Grants.gov Workspace, or institutional system-to-system solutions. These changes apply to all NIH administrative supplement funding opportunity announcements (FOAs). See [NOT-OD-20-128](#) for additional details.

## **PRIOR APPROVAL**

Requests which require the prior approval of the NIH must be submitted in accordance with the guidance provided in

<https://www.nei.nih.gov/priorapproval> and [the NIH Grants Policy Statement](#)

## **ROLES AND RESPONSIBILITIES**

If you need assistance from the National Institutes of Health (NIH) during the course of this grant, please contact the grants management and program staff listed on the Notice of Grant Award (NGA). The telephone numbers of these individuals, as well as other extramural staff members of the NIH, can be located on the NIH web site, <http://www.nih.gov>. The grants management and program staff members work closely with one another through all phases of the project to

facilitate the award and the administration of the grant. Their functions are defined as follows:

### **GRANTS MANAGEMENT CONTACT**

The Grants Management Specialist is responsible for all business management matters associated with the review, negotiation, award, and administration of grants. Grants Management Specialists serve as the focal point for receiving and responding to all questions and correspondence related to business management and policy matters, such as correspondence giving or denying any prior approval required by Public Health Service (PHS) policy or special Terms and Conditions of Award, transfer of the grant to another institution, a change in the period of support, or any action which commits, or may result in committing the NEI to a change in the amount of funding.

### **PROGRAM CONTACT**

The Program Director is responsible for all scientific and technical matters associated with the grant. The program official reviews and monitors scientific progress of the project and provides advice and assistance relative to all technical problems to ensure that the scientific objectives of the research program can be pursued effectively and successfully. All questions or correspondence dealing with research progress, changes in research direction, unique scientific opportunities, or any other scientific needs should be addressed to the Program Director.

Data Management and Sharing Policy: Applicable

This project is expected to generate scientific data. Therefore, the [Final NIH Policy for Data Management and Sharing](#) applies. The approved Data Management and Sharing (DMS) Plan is hereby incorporated as a term and condition of award, and the recipient shall manage and disseminate scientific data in accordance with the approved plan. Any significant changes to the DMS Plan (e.g., new scientific direction, a different data repository, or a timeline revision) require NIH prior approval. Failure to comply with the approved DMS plan may result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action. See NIH Grants Policy Statement [Section 8.2.3](#) for more information on data management and sharing expectations.

Budget	Year 1	Year 2
DMS Costs	\$0	\$0

### **SPREADSHEET SUMMARY**

**AWARD NUMBER:** 1R34EY000000-01

**INSTITUTION:** UNIVERSITY

Budget	Year 1	Year 2
TOTAL FEDERAL DC	\$204,400	\$213,637
TOTAL FEDERAL F&A	\$62,606	\$23,013
TOTAL COST	\$267,006	\$236,650

Facilities and Administrative Costs	Year 1	Year 2
F&A Cost Rate 1	57.5%	57.5%
F&A Cost Base 1	\$108,880	\$40,022
F&A Costs 1	\$62,606	\$23,013