

**Department of Health and Human Services**

National Institutes of Health

NATIONAL INSTITUTE ON AGING

Notice of Award

FAIN# R03AG070661

Federal Award Date

12/29/2020

Recipient Information**1. Recipient Name**

HARVARD PILGRIM HEALTH CARE INC
93 WORCESTER ST
WELLESLEY, MA 02481

2. Congressional District of Recipient
04**3. Payment System Identifier (ID)**
1042452600A1**4. Employer Identification Number (EIN)**
042452600**5. Data Universal Numbering System (DUNS)**
071721088**6. Recipient's Unique Entity Identifier****7. Project Director or Principal Investigator****Authorized Official**

Charlotte Johnson

Federal Award Information**11. Award Number**

1R03AG070661-01

12. Unique Federal Award Identification Number (FAIN)

R03AG070661

13. Statutory Authority

42 USC 241 42 CFR 52

14. Federal Award Project Title

Novel causal inference methods to inform clinical decision on when to discontinue
symptomatic treatment for patients with dementia

15. Assistance Listing Number

93.866

16. Assistance Listing Program Title

Aging Research

17. Award Action Type

New Competing

18. Is the Award R&D?

Yes

Summary Federal Award Financial Information**19. Budget Period Start Date 01/01/2021 – End Date 12/31/2021****20. Total Amount of Federal Funds Obligated by this Action** \$166,000

20a. Direct Cost Amount \$100,000

20b. Indirect Cost Amount \$66,000

21. Authorized Carryover \$0**22. Offset** \$0**23. Total Amount of Federal Funds Obligated this budget period** \$166,000**24. Total Approved Cost Sharing or Matching, where applicable** \$0**25. Total Federal and Non-Federal Approved this Budget Period** \$166,000**26. Project Period Start Date 01/01/2021 – End Date 12/31/2022****27. Total Amount of the Federal Award including Approved Cost
Sharing or Matching this Project Period** \$166,000**28. Authorized Treatment of Program Income**

Additional Costs

29. Grants Management Officer - Signature

Ryan Blakeney

Federal Agency Information**9. Awarding Agency Contact Information**

TERRY Pham

NATIONAL INSTITUTE ON AGING
terry.pham@nih.gov
301-496-9666

10. Program Official Contact Information

JONATHAN W. KING
Health Scientist Administrator
NATIONAL INSTITUTE ON AGING
kingjo@nia.nih.gov
(301) 402-4156

30. Remarks

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.



NATIONAL INSTITUTE ON AGING

SECTION I – AWARD DATA – 1R03AG070661-01

Principal Investigator(s):

Award e-mailed to: research_admin@harvardpilgrim.org

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$166,000 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to HARVARD PILGRIM HEALTH CARE INC 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 National Institute On Aging of the National Institutes of Health under Award Number R03AG070661. 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.

< Publication
Requirements

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.

< FCOI
Requirements

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Ryan Blakeney
Grants Management Officer
NATIONAL INSTITUTE ON AGING

< Grants Manager

Additional information follows

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

Federal Direct Costs	\$100,000
Federal F&A Costs	\$66,000
Approved Budget	\$166,000
Total Amount of Federal Funds Authorized (Federal Share)	\$166,000
TOTAL FEDERAL AWARD AMOUNT	\$166,000
 AMOUNT OF THIS ACTION (FEDERAL SHARE)	 \$166,000

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$166,000	\$166,000
2	\$166,000	\$166,000

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

Fiscal Information:

Payment System Identifier: 1042452600A1
Document Number: RAG070661A
PMS Account Type: P (Subaccount)
Fiscal Year: 2021

IC	CAN	2021	2022
AG	8033157	\$166,000	\$166,000

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

NIH Administrative Data:

PCC: 2BCOGJK / **OC:** 41021 / **Released:** Blakeney, Ryan 12/17/2020
Award Processed: 12/29/2020 01:33:40 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R03AG070661-01

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

SECTION III – STANDARD TERMS AND CONDITIONS – 1R03AG070661-01

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

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

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

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal

< Research &
Development
Description

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.

< Expanded Authorities

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

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

This award has been assigned the Federal Award Identification Number (FAIN) R03AG070661. 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

SECTION IV – AG SPECIFIC AWARD CONDITIONS – 1R03AG070661-01

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.

Funding for this award has been provided by Alzheimer's Disease Initiative funds.

This is a Modular Grant Award without direct cost categorical breakdowns issued in accordance with the guidelines published in the NIH Grants Policy Statement. See: [http://grants.nih.gov/grants/policy/nihgps/HTML5/section_13/13_modular_applications_and awards.htm#](http://grants.nih.gov/grants/policy/nihgps/HTML5/section_13/13_modular_applications_and_awards.htm#) . 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.

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. Current salary cap levels can be found at the following URL: http://grants.nih.gov/grants/policy/salcap_summary.htm

SPREADSHEET SUMMARY

AWARD NUMBER: 1R03AG070661-01

INSTITUTION: HARVARD PILGRIM HEALTH CARE INC

Facilities and Administrative Costs	Year 1	Year 2
F&A Cost Rate 1	66%	66%
F&A Cost Base 1	\$100,000	\$100,000
F&A Costs 1	\$66,000	\$66,000

NOA Definitions

Assistance Listing Number (ALN) previously CFDA (Catalog of Federal Domestic Assistance)

The Catalog of Federal Domestic Assistance (CFDA), now called **Assistance Listings, (ALN)**, an E-Gov initiative managed by the General Services Administration (GSA), is a list of all [federal financial assistance](#) and nonfinancial assistance programs available to a variety of applicants.

FAIN (Federal Award Identification Number) is the unique identifying **number** assigned to all **federal** finance awards.

Statutory authority refers to the powers and duties assigned to a government official or agency through a law passed by Congress or a state legislature. It is also known as a **statutory** grant of **authority**.

Is the Award R & D: specifies if the award is categorized as Research & Development (See page 3 of award notice)

Expanded Authorities the operating authorities provided to grantees under certain research grant mechanisms that waive the normally-required sponsor prior approval for specific actions. For example, a researcher may wish to extend the time allotted for performing the work without requesting any additional funds (called a "no-cost extension").

NOA Description

Page 1

Basic administrative and budgetary information.

#1-8	HPHC (grantee) information
#9-10	Awarding agency, address, grants specialist, program officer
#11-18	Sponsor award information, grant number, etc. (see definitions)
#19-27	Award information (amount of award, period of award. grant specialist)

Pages 2-5

Instructions referring to adhering to Terms & Conditions

The budget is repeated

Fiscal Information (grant #, Payment Management System (PMS) payment draw down system number

Page 6

Information regarding the specific funding.

Reminder regarding salary cap.