



NATIONAL CANCER INSTITUTE

Grant Number: 1P50CA244690-01
FAIN: P50CA244690

Principal Investigator(s):
Rinad Sary Beidas (contact), PHD
Justin Bekelman, MD
Robert A. Schnoll, PHD

Project Title: Advancing the Quality of Cancer Care through Behavioral Economics and Implementation Science

Watson, W Stuart
Assoc. Director/ORS
3451 Walnut Street
Franklin Building, 5th floor
Philadelphia, PA 191046205

Award e-mailed to: rs-award@lists.upenn.edu

Period Of Performance:
Budget Period: 08/01/2020 – 07/31/2021
Project Period: 08/01/2020 – 07/31/2025

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$983,060 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF PENNSYLVANIA in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Cancer Institute of the National Institutes of Health under Award Number P50CA244690. 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,

Amy R Bartosch
Grants Management Officer
NATIONAL CANCER INSTITUTE

Additional information follows

SECTION I – AWARD DATA – 1P50CA244690-01**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$353,736
Fringe Benefits	\$107,888
Personnel Costs (Subtotal)	\$461,624
Consultant Services	\$42,973
Materials & Supplies	\$506
Travel	\$2,427
Other	\$99,141

Federal Direct Costs	\$606,671
Federal F&A Costs	\$376,389
Approved Budget	\$983,060
Total Amount of Federal Funds Obligated (Federal Share)	\$983,060
TOTAL FEDERAL AWARD AMOUNT	\$983,060

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$983,060

SUMMARY TOTALS FOR ALL YEARS			
YR	THIS AWARD		CUMULATIVE TOTALS
1		\$983,060	\$983,060
2		\$985,840	\$985,840
3		\$985,840	\$985,840
4		\$985,840	\$985,840
5		\$985,840	\$985,840

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

Fiscal Information:

CFDA Name: 21st Century Cures Act - Beau Biden Cancer Moonshot
CFDA Number: 93.353
EIN: 1231352685A1
Document Number: PCA244690A
PMS Account Type: P (Subaccount)
Fiscal Year: 2020

IC	CAN	2020	2021	2022	2023	2024
CA	8030499	\$983,060	\$985,840	\$985,840	\$985,840	\$985,840

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

NIH Administrative Data:

PCC: D9CI / **OC:** 41021 / **Released:** MCGUIREA 07/21/2020
Award Processed: 07/30/2020 12:02:57 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1P50CA244690-01

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 – TERMS AND CONDITIONS – 1P50CA244690-01

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 VI Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

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) P50CA244690. 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 provides support for one or more clinical trials. By law (Title VIII, Section 801 of [Public Law 110-85](#)), the “responsible party” must register “applicable clinical trials” on the [ClinicalTrials.gov Protocol Registration System Information Website](#). NIH encourages registration of all trials whether required under the law or not. For more information, see http://grants.nih.gov/ClinicalTrials_fdaaa/

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 – CA Special Terms and Conditions – 1P50CA244690-01

Clinical Trial Indicator: Yes

This award supports one or more NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

RESTRICTION: Based on NCI staff review and recommendation, support for Signature Pilot 3 which tests technology enabled strategies to increase patient adherence to oral chemotherapy has been deleted from the budget. No funds from this award may be rebudgeted for Signature Pilot 3 which tests technology enabled strategies to increase patient adherence to oral chemotherapy without the written prior approval of the NCI.

REQUIREMENT: This award is contingent upon the adjustment in Dr. Mitesh Patel's effort as described in the updated Other Support/Correspondence dated 06/24/2020.

REQUIREMENT: This award is contingent upon the adjustment in Dr. David Asch's effort as described in the updated Other Support/Correspondence dated 06/24/2020.

REQUIREMENT: The awardee is required to follow the single IRB (sIRB) plan included in the application and may not implement any changes in the plan without the written prior approval of the National Cancer Institute.

REQUIREMENT: The clinical trial(s) supported by this award is subject to the plan dated 02/11/2019 submitted to NIH and the NIH policy on Dissemination of NIH-Funded Clinical Trial Information. The plan states that the clinical trial(s) funded by this award will be registered in ClinicalTrials.gov not later than 21 calendar days after enrollment of the first participant and primary summary results reported in ClinicalTrials.gov, not later than one year after the completion date. The reporting of summary results is required by this term of award even if the primary completion date occurs after the period of performance.

REQUIREMENT: This award is subject to additional certification requirements with each submission of the Annual, Interim, and Final Research Performance Progress Report (RPPR). The recipient must agree to the following annual certification when submitting each RPPR. By submitting the RPPR, the AOR signifies compliance, as follows:
In submitting this RPPR, the SO (or PD/PI with delegated authority), certifies to the best of his/her knowledge that, for all clinical trials funded under this NIH award, the recipient and all investigators conducting NIH-funded clinical trials are in compliance with the recipient's plan addressing compliance with the NIH Policy on Dissemination of NIH-Funded Clinical Trial Information. Any clinical trial funded in whole or in part under this award has been registered in ClinicalTrials.gov or will be registered not later than 21 calendar days after enrollment of the first participant. Summary results have been submitted to ClinicalTrials.gov or will be submitted not later than one year after the completion date, even if the completion date occurs after the period of performance.

REQUIREMENT: The awardee is required to follow the data and safety monitoring plan included in the application and may not implement any changes in the plan without the written prior approval of the National Cancer Institute.

REQUIREMENT: Utilizing the provision outlined in the 21st Century Cures Act (<https://www.congress.gov/bill/114th-congress/house-bill/6>), NCI has established a data sharing policy for projects that are funded as part of the Beau Biden Cancer Moonshot Initiative. Unless approved by NCI for an exception, awardees must have and comply with a Public Access and Data Sharing Plan that describes their proposed process for making resulting publications and to

the extent possible, the Underlying Primary Data immediately and broadly available to the public. Study consent must address the option to use data for future research studies.

INFORMATION: This award reflects NCI approval of the proposed revised aims for this project submitted by the grantee on June 18, 2020. Significant additional changes in the aims, objectives or purposes of this project require NCI prior approval.

INFORMATION: In accordance with the National Cancer Institute's (NCI's) Fiscal Year (FY) 2020 funding policies, this award has been issued at 50.6% of the adjusted requested level*. Support recommended for future years has been adjusted accordingly.

*adjusted requested level: The requested level of support with adjustments made in accordance with the budget narrative in the summary statement and applicable grant policies.

INFORMATION: This award involves Human Subjects Research. See "Assurance Requirements and Institutional Review Boards" under Part II, Subpart A, Human Subjects, in the [NIH Grants Policy Statement](#), for specific requirements and grantee responsibilities related to the protection of human subjects, which are applicable to and are a term and condition of this award.

This award reflects the National Cancer Institute's acceptance of the certification that all key personnel have completed education on the protection of human subjects, in accordance the [NIH Grants Policy Statement](#), "Education in the Protection of Human Research Subjects."

Any individual involved in the design and conduct of the study that is not included in the certification must satisfy this requirement prior to participating in the project. Failure to comply can result in the suspension and/or termination of this award, withholding of support of the continuation award, audit disallowances, and/or other appropriate action.

INFORMATION: This award has been issued with funds provided under the [Beau Biden Cancer MoonshotSM Initiative](#).

REQUIREMENT: Utilizing the provision outlined in the 21st Century Cures Act (<https://www.congress.gov/bill/114th-congress/house-bill/6>), NCI has established a data sharing policy for projects that are funded as part of the Beau Biden Cancer Moonshot Initiative. Unless approved by NCI for an exception, awardees must have and comply with a Public Access and Data Sharing Plan that describes their proposed process for making resulting publications and to the extent possible, the Underlying Primary Data immediately and broadly available to the public. Study consent must address the option to use data for future research studies.

INFORMATION: This award, including the budget and the budget period, has been discussed between Rogers Gross II of the National Cancer Institute and W. Stuart Watson on 6/29/2020.

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: Rogers Gross
Email: rogers.gross@nih.gov **Phone:** (240) 276-7589

Program Official: Cynthia Vinson
Email: cvinson@mail.nih.gov **Phone:** 240-276-6745

SPREADSHEET SUMMARY

GRANT NUMBER: 1P50CA244690-01

INSTITUTION: UNIVERSITY OF PENNSYLVANIA

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$353,736	\$355,187	\$312,229	\$319,751	\$327,275
Fringe Benefits	\$107,888	\$108,331	\$95,229	\$97,524	\$99,817
Personnel Costs (Subtotal)	\$461,624	\$463,518	\$407,458	\$417,275	\$427,092
Consultant Services	\$42,973	\$42,973	\$5,056	\$5,056	\$5,056
Materials & Supplies	\$506	\$506	\$506	\$506	\$506
Travel	\$2,427	\$2,427	\$7,482	\$2,427	\$2,427
Other	\$99,141	\$97,247	\$186,169	\$181,407	\$171,590
TOTAL FEDERAL DC	\$606,671	\$606,671	\$606,671	\$606,671	\$606,671
TOTAL FEDERAL F&A	\$376,389	\$379,169	\$379,169	\$379,169	\$379,169
TOTAL COST	\$983,060	\$985,840	\$985,840	\$985,840	\$985,840

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	62%	62.5%	62.5%	62.5%	62.5%
F&A Cost Base 1	\$556,115	\$606,671	\$606,671	\$606,671	\$606,671
F&A Costs 1	\$344,791	\$379,169	\$379,169	\$379,169	\$379,169
F&A Cost Rate 2	62.5%				
F&A Cost Base 2	\$50,556				
F&A Costs 2	\$31,598				