

FDP Subaward Amendment			
Amendment No		Subaward No	
Pass-Through Entity (PTE)		Subrecipient	
Entity Name			
Contact Email			
Principal Investigator			
Project Title			
PTE/Prime Award No.		Awarding Agency	
Subaward Period of Performance <small>(Agreement Start Date) (End Date of Latest Budget Period)</small>		Amount Funded This Action	Total Amount of Funds Obligated to Date
Start Date:	End Date:	No Change	Fixed Price Per Patient
Subrecipient Cost Share	Subject to FFATA	Subrecipient UEI	<small>(Unique Entity Identifier - May leave blank if unchanged from prior Agreement)</small>
Amendment(s) to Original Terms and Conditions			
This Amendment revises the above-referenced Subaward Agreement as follows:			
<p>This Amendment may be executed in any number of counterparts, each of which so executed shall be deemed to be an original, and such counterparts shall together constitute one and the same Amendment. The parties shall be entitled to sign and transmit an electronic signature of this Amendment (whether by facsimile, PDF or other email transmission), which signature shall be binding on the party whose names contained therein. Each party providing an electronic signature agrees to promptly execute and deliver to the party an original signed Amendment upon request.</p>			
<i>For clarity: all amounts stated in this amendment are in United States Dollars.</i>			
All other terms and conditions of this Subaward Agreement remain in full force and effect.			
By an Authorized Official of PTE:		By an Authorized Official of Subrecipient:	
Date	Date	Date	Date
_____		_____	
Name	Name	Name	Name
Title	Title	Title	Title

Attachment 3A-
Pass-Through Entity (PTE) Contacts

Subaward Number:

PTE Information

Entity Name:

Legal Address:

Website:

PTE Contacts

Central Email:

Principal Investigator Name:

Email:

Telephone Number:

Administrative Contact Name:

Email:

Telephone Number:

COI Contact email (if different to above):

Financial Contact Name:

Email:

Telephone Number:

Email invoices? Yes No Invoice email (if different):

Authorized Official Name:

Email:

Telephone Number:

PI Address:

Administrative Address:

Invoice Address:

Attachment 6-

Notice of Award (NOA) and any additional documents

The following pages include the NOA and if applicable any additional documentation referenced throughout this Subaward.

Not incorporating the NOA or any additional documentation to this Subaward.

FDP Subaward Amendment			
	Amendment No	7	Subaward No
		CON-80004383 (GR120480)	
Pass-Through Entity (PTE)		Subrecipient	
Yale University		Entity Name	
University of Cincinnati			
gcat1@yale.edu		Contact Email	
ospaward@uc.edu			
Kevin Sheth, MD		Principal Investigator	
Pooja Khatri, MD			
Project Title			
Anticoagulation in ICH Survivors for Prevention and Recovery (ASPIRE)			
PTE/Prime Award No.		Awarding Agency	
5 U01NS106513-03		National Institutes of Health (NIH)	
Cumulative Budget Period(s)		Amount Funded This Action	Total Amount of Funds Obligated to Date
<small>(Agreement Start Date) (End Date of Latest Budget Period)</small>			
Start Date:	End Date:	\$ 2,907,302.00	\$ 6,770,918.14
02/01/2019	04/30/2024		
Subrecipient Cost Share	Subject to FFATA	Subrecipient UEI	<small>(Unique Entity Identifier - May leave blank if unchanged from prior Agreement)</small>
<input type="checkbox"/>	<input checked="" type="checkbox"/>		
Amendment(s) to Original Terms and Conditions			
This Amendment revises the above-referenced Subaward Agreement as follows:			
<input checked="" type="checkbox"/> Additional Budget Period Additional budget period <input type="text" value="05/01/2023"/> - <input type="text" value="04/30/2024"/> is hereby added to this Subaward.			
<input type="checkbox"/> No Cost Extension			
<input checked="" type="checkbox"/> Additional Funding Additional funding in the amount of <input type="text" value="\$ 2,907,302.00"/> is hereby obligated to this Subaward.			
<input type="checkbox"/> Deobligation			
Carryover is <input type="text" value="Not Automatic"/> Carryover across budget periods requires prior approval.			
<input type="checkbox"/> Carryover Authorized			
<small>If carryover is not automatic, the "Total Amount of Funds Obligated to Date" stated above may not reflect the actual balance available. The Subrecipient is responsible for tracking unobligated balances and subsequent carryover approvals from prior budget periods. In the event that funding was not fully expended by the Subrecipient during the prior period, the Subrecipient is not authorized to use funds from any prior periods, unless approval is granted by the PTE.</small>			
<input checked="" type="checkbox"/> Detailed Budget/Scope of Work/Notice of Award Attached <small>(Specify if the Budget and Scope of Work are "New", "Revised", or "Supplemental" in dropdown or "Other")</small> <input type="text" value="A Notice of Award"/> is incorporated by attachment to this Amendment.			
<input checked="" type="checkbox"/> Other (See Below)			
Subaward No. is hereby revised from CON-80002327 (GR109193) to CON-80004383 (GR120480). Subaward invoices for this budget period that do not reference the revised Subaward No. may be returned to the Subrecipient.			
<i>For clarity: all amounts stated in this amendment are in United States Dollars.</i>			
All other terms and conditions of this Subaward Agreement remain in full force and effect.			
By an Authorized Official of PTE:		By an Authorized Official of Subrecipient:	
Elizabeth Kingsley	Date	David S. Gearing, Sr.,	Date
<small>Digitally signed by Elizabeth Kingsley Date: 2023.07.11 08:53:08 -04'00'</small>	<input type="text" value="Jul 11, 2023"/>	<small>Digitally signed by David S. Gearing, Sr., MHA Date: 2023.07.06 14:52:19 -04'00'</small>	<input type="text" value="Jul 6, 2023"/>
Name	Beth Kingsley, CRA, SO	Name	David S. Gearing, Sr., MHA
Title	Associate Director, Office of Sponsored Projects	Title	Director, Grants & Contracts, Sponsored Research Services



<p>Recipient Information</p> <p>1. Recipient Name YALE UNIVERSITY 105 WALL ST NEW HAVEN, CT 06511</p> <p>2. Congressional District of Recipient 03</p> <p>3. Payment System Identifier (ID) 1060646973A1</p> <p>4. Employer Identification Number (EIN) 060646973</p> <p>5. Data Universal Numbering System (DUNS) 043207562</p> <p>6. Recipient's Unique Entity Identifier FL6GV84CKN57</p> <p>7. Project Director or Principal Investigator Kevin Navin Sheth, MD (Contact) Professor kevin.sheth@yale.edu 443-615-4729</p> <p>8. Authorized Official Kimberly O Fiore kimberly.fiore@yale.edu 203-785-4997</p>	<p>Federal Award Information</p> <p>11. Award Number 5U01NS106513-03</p> <p>12. Unique Federal Award Identification Number (FAIN) U01NS106513</p> <p>13. Statutory Authority 42 USC 241 31 USC 6305 42 CFR 52</p> <p>14. Federal Award Project Title Anticoagulation in ICH Survivors for Prevention and Recovery (ASPIRE)</p> <p>15. Assistance Listing Number 93.853</p> <p>16. Assistance Listing Program Title Extramural Research Programs in the Neurosciences and Neurological Disorders</p> <p>17. Award Action Type Non-Competing Continuation</p> <p>18. Is the Award R&D? Yes</p>																								
<p>Federal Agency Information</p> <p>9. Awarding Agency Contact Information Funmi Elesinmogun Grants Management Specialist NATIONAL INSTITUTE OF NEUROLOGICAL DISORDERS AND STROKE elesinmf@mail.nih.gov (240) 276-6313</p> <p>10. Program Official Contact Information Catherine L. Levy Program Officer NATIONAL INSTITUTE OF NEUROLOGICAL DISORDERS AND STROKE levyc@mail.nih.gov</p>	<p>Summary Federal Award Financial Information</p> <table border="1"> <tr> <td colspan="2">19. Budget Period Start Date 05/01/2023 – End Date 04/30/2024</td> </tr> <tr> <td>20. Total Amount of Federal Funds Obligated by this Action</td> <td style="text-align: right;">\$4,270,266</td> </tr> <tr> <td> 20 a. Direct Cost Amount</td> <td style="text-align: right;">\$4,077,523</td> </tr> <tr> <td> 20 b. Indirect Cost Amount</td> <td style="text-align: right;">\$192,743</td> </tr> <tr> <td>21. Authorized Carryover</td> <td></td> </tr> <tr> <td>22. Offset</td> <td></td> </tr> <tr> <td>23. Total Amount of Federal Funds Obligated this budget period</td> <td style="text-align: right;">\$4,270,266</td> </tr> <tr> <td>24. Total Approved Cost Sharing or Matching, where applicable</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>25. Total Federal and Non-Federal Approved this Budget Period</td> <td style="text-align: right;">\$4,270,266</td> </tr> <tr> <td colspan="2">-----</td> </tr> <tr> <td colspan="2">26. Project Period Start Date 07/01/2019 – End Date 04/30/2026</td> </tr> <tr> <td>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</td> <td style="text-align: right;">\$12,051,462</td> </tr> </table> <p>28. Authorized Treatment of Program Income Additional Costs</p> <p>29. Grants Management Officer - Signature James Washington</p>	19. Budget Period Start Date 05/01/2023 – End Date 04/30/2024		20. Total Amount of Federal Funds Obligated by this Action	\$4,270,266	20 a. Direct Cost Amount	\$4,077,523	20 b. Indirect Cost Amount	\$192,743	21. Authorized Carryover		22. Offset		23. Total Amount of Federal Funds Obligated this budget period	\$4,270,266	24. Total Approved Cost Sharing or Matching, where applicable	\$0	25. Total Federal and Non-Federal Approved this Budget Period	\$4,270,266	-----		26. Project Period Start Date 07/01/2019 – End Date 04/30/2026		27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$12,051,462
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<p>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.</p>																									



RESEARCH PROJECT COOPERATIVE AGREEMENT
Department of Health and Human Services
National Institutes of Health



NATIONAL INSTITUTE OF NEUROLOGICAL DISORDERS AND STROKE

SECTION I – AWARD DATA – 5U01NS106513-03

Principal Investigator(s):

Hooman Kamel, MD
Kevin Navin Sheth (contact), MD

Award e-mailed to: osp@yale.edu

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$4,270,266 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to YALE UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 31 USC 6305 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 Of Neurological Disorders And Stroke of the National Institutes of Health under Award Number U01NS106513. 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,

James Washington
Grants Management Officer
NATIONAL INSTITUTE OF NEUROLOGICAL DISORDERS AND STROKE

Additional information follows

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

Salaries and Wages	\$188,243
Fringe Benefits	\$60,802
Personnel Costs (Subtotal)	\$249,045
Consultant Services	\$23,500
Materials & Supplies	\$7,500
Travel	\$5,500
Subawards/Consortium/Contractual Costs	\$3,791,978
Federal Direct Costs	\$4,077,523
Federal F&A Costs	\$192,743
Approved Budget	\$4,270,266
Total Amount of Federal Funds Authorized (Federal Share)	\$4,270,266
TOTAL FEDERAL AWARD AMOUNT	\$4,270,266
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$4,270,266

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$4,270,266	\$4,270,266
4	\$1	\$1
5	\$1	\$1

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

Fiscal Information:

Payment System Identifier: 1060646973A1
Document Number: UNS106513A
PMS Account Type: P (Subaccount)
Fiscal Year: 2023

IC	CAN	2023	2024	2025
NS	8472428	\$4,270,266	\$1	\$1

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

NIH Administrative Data:

PCC: LEVYC CR / OC: 41029 / Released: Washington, James 04/14/2023
Award Processed: 04/17/2023 12:10:28 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5U01NS106513-03

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

SECTION III – STANDARD TERMS AND CONDITIONS – 5U01NS106513-03

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).

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.

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 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) U01NS106513. 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/

This award provides support for one or more NIH defined Phase III Clinical Trials. The NIH Policy for research supported as an NIH Phase III Clinical Trial has been amended in Section II.B. of the NIH Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research – Amended October 2001 (see http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm).

A description of plans to conduct analyses, as appropriate, by sex/gender and racial/ethnic groups must be included in clinical trial protocols. Cumulative subject accrual and progress in conducting subset analyses must be reported to NIH in the annual Progress Reports. Final analyses of sex/gender and racial/ethnic differences must be reported in the required Final Progress Report or Competitive Renewal Applications (or Contract Renewals/Extensions) as stated in Section II.B. of the Guidelines.

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

SECTION IV – NS SPECIFIC AWARD CONDITIONS – 5U01NS106513-03

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.

This non-competing award has been made at the full committed level

The requested budget was considered and determined not to represent significant re-budgeting. Therefore, categorical amounts reflect the direct and facilities and administrative cost levels previously recommended for the current year. See NIH Grants Policy Statement, <http://grants.nih.gov/grants/policy/nihgps/index.htm>

The initial award will be committed for three years in order to demonstrate feasibility.

During the third year of the award, the Principal Investigator will submit an application for an Administrative Continuation Review for the remainder of the original total budget. The following items should be sent to the NINDS Program Official by November 1, 2023:

- A letter co-signed by the Business Official and Principal Investigator requesting an additional two years of support;
- A one-page research plan for the additional two years; and
- A budget and justification for the remaining proposed period of support.

NINDS program staff will review these documents administratively. Approval will be contingent upon a demonstrated ability to conduct and complete the study.

Program Official: Ms. Catherine Levy
Project Scientist: Scott Janis, PhD

Where consortia are included, they 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>

The funds in this award shall not be used to pay the salary of an individual at a rate in excess of Executive Level II (\$203,700) per year effective January 2, 2022. See NIH Guide Notice: NOT-OD-22-076 <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-22-076.html>

SPREADSHEET SUMMARY

AWARD NUMBER: 5U01NS106513-03

INSTITUTION: YALE UNIVERSITY

Budget	Year 3	Year 4	Year 5
Salaries and Wages	\$188,243		
Fringe Benefits	\$60,802		
Personnel Costs (Subtotal)	\$249,045		
Consultant Services	\$23,500		
Materials & Supplies	\$7,500		
Travel	\$5,500		
Other		\$1	\$1
Subawards/Consortium/Contractual Costs	\$3,791,978		
TOTAL FEDERAL DC	\$4,077,523	\$1	\$1
TOTAL FEDERAL F&A	\$192,743	\$0	\$0
TOTAL COST	\$4,270,266	\$1	\$1

Facilities and Administrative Costs	Year 3	Year 4	Year 5
F&A Cost Rate 1	67.5%		
F&A Cost Base 1	\$285,545		
F&A Costs 1	\$192,743		