



Recipient Information	Federal Award Information																										
<p><b>1. Recipient Name</b> TRUSTEES OF THE UNIVERSITY OF PENNSYLVANIA, THE 3451 WALNUT ST STE 440A  PHILADELPHIA, PA 19104</p> <p><b>2. Congressional District of Recipient</b> 03</p> <p><b>3. Payment System Identifier (ID)</b> 1231352685A1</p> <p><b>4. Employer Identification Number (EIN)</b> 231352685</p> <p><b>5. Data Universal Numbering System (DUNS)</b> 042250712</p> <p><b>6. Recipient's Unique Entity Identifier</b></p> <p><b>7. Project Director or Principal Investigator</b> Shivan Jatin Mehta, MD (Contact)  shivan.mehta@pennteam.upenn.edu <input type="text" value="Personal Info"/></p> <p><b>8. Authorized Official</b> ELIZABETH D PELOSO</p>	<p><b>11. Award Number</b> 1R61AG068945-01</p> <p><b>12. Unique Federal Award Identification Number (FAIN)</b> R61AG068945</p> <p><b>13. Statutory Authority</b> 42 USC 241 42 CFR PART 52</p> <p><b>14. Federal Award Project Title</b> BE IMMUNE: Behavioral Economics to Improve and Motivate vaccination Using Nudges through the EHR</p> <p><b>15. Assistance Listing Number</b> 93.866</p> <p><b>16. Assistance Listing Program Title</b> Aging Research</p> <p><b>17. Award Action Type</b> New Competing (REVISED)</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> MEGAN ELIZABETH Hancock  NATIONAL INSTITUTE ON AGING megan.hancock@nih.gov 301-827-6335</p> <p><b>10. Program Official Contact Information</b> PARTHA BHATTACHARYYA Program Director NATIONAL INSTITUTE ON AGING bhattacharyyap@nia.nih.gov (301) 496-3131</p>	<table border="1"> <thead> <tr> <th colspan="2" style="background-color: #e0e0e0;">Summary Federal Award Financial Information</th> </tr> </thead> <tbody> <tr> <td colspan="2" style="background-color: #e0e0e0;"><b>19. Budget Period Start Date 08/15/2020 – End Date 07/31/2021</b></td> </tr> <tr> <td><b>20. Total Amount of Federal Funds Obligated by this Action</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>    20 a. Direct Cost Amount</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>    20 b. Indirect Cost Amount</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>21. Authorized Carryover</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>22. Offset</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>23. Total Amount of Federal Funds Obligated this budget period</b></td> <td style="text-align: right;">\$315,340</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;">\$315,340</td> </tr> <tr> <td colspan="2" style="text-align: center;">-----</td> </tr> <tr> <td colspan="2" style="background-color: #e0e0e0;"><b>26. Project Period Start Date 08/15/2020 – End Date 07/31/2022</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;">\$315,340</td> </tr> </tbody> </table> <p><b>28. Authorized Treatment of Program Income</b> Additional Costs</p> <p><b>29. Grants Management Officer - Signature</b> Robin Laney</p>	Summary Federal Award Financial Information		<b>19. Budget Period Start Date 08/15/2020 – End Date 07/31/2021</b>		<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$0	20 a. Direct Cost Amount	\$0	20 b. Indirect Cost Amount	\$0	<b>21. Authorized Carryover</b>	\$0	<b>22. Offset</b>	\$0	<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$315,340	<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0	<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$315,340	-----		<b>26. Project Period Start Date 08/15/2020 – End Date 07/31/2022</b>		<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b>	\$315,340
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<p><b>30. Remarks</b> 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 – 1R61AG068945-01 REVISED**

**Principal Investigator(s):**

Joshua M Liao  
Shivan Jatin Mehta (contact), MD  
Amol S Navathe, MD

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

Dear Authorized Official:

The National Institutes of Health hereby revises this award (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 PART 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 R61AG068945. 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,

Robin Laney  
Grants Management Officer  
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Additional information follows

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

Salaries and Wages	\$66,785
Fringe Benefits	\$21,571
Personnel Costs (Subtotal)	\$88,356
Materials & Supplies	\$2,820
Other	\$25,394
Subawards/Consortium/Contractual Costs	\$110,937

Federal Direct Costs	\$227,507
Federal F&A Costs	\$87,833
Approved Budget	\$315,340
Total Amount of Federal Funds Authorized (Federal Share)	\$315,340
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$315,340</b>

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

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$315,340	\$315,340
2	\$288,540	\$288,540

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

**Fiscal Information:**

**Payment System Identifier:** 1231352685A1  
**Document Number:** RAG068945A  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2020

IC	CAN	2020	2021
AG	8470694	\$315,340	\$288,540

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

**NIH Administrative Data:**

**PCC:** 2CECNPB / **OC:** 41021 / **Released:** Laney, Robin 07/01/2021  
**Award Processed:** 07/02/2021 12:02:22 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R61AG068945-01 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>

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**SECTION III – STANDARD TERMS AND CONDITIONS – 1R61AG068945-01 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).

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 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) R61AG068945. 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/](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 (FAPIS)). 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:**

