

May 24, 2019

Senator Rick Girdler, Co-Chair
Representative Walker Thomas, Co-Chair
Capital Projects and Bond Oversight Committee
Legislative Research Commission
Capital Annex Building - Room 34
702 Capital Avenue
Frankfort, Kentucky 40601

Re: Radon Long-Length Imaging Detector

Dear Senator Girdler and Representative Thomas:

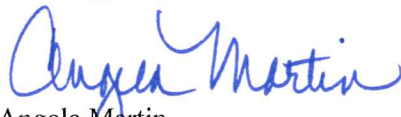
Pursuant to KRS 45.760(5), the University of Kentucky hereby reports the purchase of medical equipment in excess of \$200,000. Money specifically budgeted and appropriated by the General Assembly for another purpose or program is not being used for the expenditures of these items.

The Radon Long-Length Imaging Detector is a patient lift system recommended to reduce the risk of injury to patients and employees. The lift allows for a safer way to transfer patients to and from a wheelchair to the x-ray table and decrease the likelihood of employee injury during transfers. The new imaging system may allow for more efficient imaging, less x-ray dosage, and reduced likelihood of patient/employee discomfort and injury. Currently, non-weight bearing patients are supported by employees standing alongside the patients, which poses a safety hazard to both the patient and employee.

The system will be located at the UK HealthCare Chandler Hospital. The cost for purchase is \$225,000 paid in cash from UK restricted funds.

Please advise if you have any questions or if you would like additional information.

Sincerely,



Angela Martin
Vice President for Financial Planning and Chief Budget Officer

c: Elizabeth Baker Teresa Centers William Coleman

see blue.

May 31, 2019

Senator Rick Girdler
Representative Walker Thomas
Capital Projects and Bond Oversight Committee
Legislative Research Commission
Capital Annex Room 34
Frankfort, KY 40601

RE: Equipment Purchase - Preclinical Ultrasound System

Dear Senator Girdler and Representative Thomas:

In accordance with provisions of KRS 45.760(5), I am writing to report the future purchase of equipment. I hereby certify that all terms and conditions of the subsections (a), (b) and (c) have been met.

The Department of Medicine will be spending \$363,800 for a Preclinical Ultrasound System. The system will enable investigators to image laboratory animals non-invasively. Current equipment is obsolete and unable to be serviced. NIH awarded a grant to cover the cost of the equipment.

Please contact Kim Noltemeyer at 852-8186, if you have any questions regarding this purchase.

Sincerely,



Mark Watkins
Senior Associate Vice President of Operations
University of Louisville

cc: President Neeli Bendapudi
Dan Durbin, CFO
Steven P. Jones, Ph.D., FAHA
Shaun McKiernan
Carla Wright (OSBD)

Purchase of Capital Equipment Greater Than \$200,000

The following information is required to make a request to the State to purchase equipment greater than \$200,000. A copy of the vendor equipment quote will also need to be attach to the request.

- A. Description of the item
Preclinical ultrasound system.

- B. The purpose for which it will be used
The requested ultrasound will enable investigators to image laboratory animals non-invasively. This instrument will support the progress of millions of dollars in NIH (i.e., federal) funding.

- C. The necessity for the purchase
The current instrument is obsolete and is no longer serviced. Dozens of investigators and millions of dollars in federal grants depend on this system. I received a grant from the NIH to purchase this piece of equipment. All of the money needed to purchase this instrument is supplied in the NIH grant.

- D. The amount expended for the purchase from each source of funds used
The entire amount of the purchase is covered by a federal grant that is specifically dedicated to purchasing this piece of equipment. I received a grant from the NIH to purchase this piece of equipment. All of the money needed to purchase this instrument is supplied in the NIH grant.

- E. Will the money being used for the purchase jeopardize any existing program
No.

- F. The purchase will not require the use of any current general funds specifically dedicated to existing programs.
This statement is correct. I received a grant from the NIH to purchase this piece of equipment. All of the money needed to purchase this instrument is supplied in the NIH grant.

- G. Funds are available for the purchase and the method of financing the purchase will not require any additional appropriate of state funds.
This statement is correct. I received a grant from the NIH to purchase this piece of equipment. All of the money needed to purchase this instrument is supplied in the NIH grant.



OFFICE OF THE DIRECTOR, NATIONAL INSTITUTES OF HEALTH

Grant Number: 1S10OD025178-01A1
FAIN: S10OD025178

Principal Investigator(s):
Steven P Jones, PHD

Project Title: Imaging and Physiology Core: High Frequency, High Resolution Ultrasound Imaging System

French, Andrew
Sr. Grants Management Specialist
300 E. MARKET STREET, SUITE 300
JD NICHOLS CAMPUS
Louisville, KY 402021959

Award e-mailed to: grntmgmt@louisville.edu

Period Of Performance:

Budget Period: 06/01/2019 – 05/31/2020

Project Period: 06/01/2019 – 05/31/2020

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$363,800 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to University of Louisville Research Foundation, 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 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 Office Of The Director, National Institutes Of Health of the National Institutes of Health under Award Number S10OD025178. 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,

Gavin Wilkom
Grants Management Officer
OFFICE OF THE DIRECTOR, NATIONAL INSTITUTES OF HEALTH

Additional information follows

SECTION I – AWARD DATA – 1S100D025178-01A1**Award Calculation (U.S. Dollars)**

Equipment	\$363,800
Federal Direct Costs	\$363,800
Approved Budget	\$363,800
Total Amount of Federal Funds Obligated (Federal Share)	\$363,800
TOTAL FEDERAL AWARD AMOUNT	\$363,800
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$363,800

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$363,800	\$363,800

Fiscal Information:

CFDA Name: Research Infrastructure Programs
CFDA Number: 93.351
EIN: 1611029626A1
Document Number: SOD025178A
PMS Account Type: P (Subaccount)
Fiscal Year: 2019

IC	CAN	2019
OD	8014510	\$363,800

NIH Administrative Data:

PCC: BIG680 / **OC:** 415A / **Released:** WILKOMG 05/17/2019
Award Processed: 05/23/2019 12:11:46 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1S100D025178-01A1

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 – 1S100D025178-01A1

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

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).

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) S10OD025178. 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 represents the final year of the competitive segment for this grant. See the NIH Grants Policy Statement Section 8.6 Closeout for complete closeout requirements at: <http://grants.nih.gov/grants/policy/policy.htm#gps>.

A final expenditure Federal Financial Report (FFR) (SF 425) must be submitted through the eRA Commons (Commons) within 120 days of the period of performance end date; see the NIH Grants Policy Statement Section 8.6.1 Financial Reports, <http://grants.nih.gov/grants/policy/policy.htm#gps>, for additional information on this submission requirement. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) quarterly cash transaction data. A final quarterly federal cash transaction report is not required for awards in PMS B subaccounts (i.e., awards to foreign entities and to Federal agencies). NIH will close the awards using the last recorded cash drawdown level in PMS for awards that do not require a final FFR on expenditures or quarterly federal cash transaction reporting. It is important to note that for financial closeout, if a grantee fails to submit a required final expenditure FFR, NIH will close the grant using the last recorded cash drawdown level. If the grantee submits a final expenditure FFR but does not reconcile any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH will close the award at the lower amount. This could be considered a debt or result in disallowed costs.

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 120 days of the expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>. This paragraph does not apply to Training grants, Fellowships, and certain other programs—i.e., activity codes C06, D42, D43, D71, DP7, G07, G08, G11, K12, K16, K30, P09, P40, P41, P51, R13, R25, R28, R30, R90, RL5, RL9, S10, S14, S15, U13, U14, U41, U42, U45, UC6, UC7, UR2, X01, X02.

Unless an application for competitive renewal is submitted, a Final Research Performance Progress Report (Final RPPR) must also be submitted within 120 days of the period of performance end date. If a competitive renewal application is submitted prior to that date, then an Interim RPPR must be submitted by that date as well. Instructions for preparing an Interim or Final RPPR are at: https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the Interim or Final RPPR. *Note that data reported within Section I of the Interim and Final RPPR forms will be made public and should be written for a lay person audience.*

NIH strongly encourages electronic submission of the final invention statement through the Closeout feature in the Commons, but will accept an email or hard copy submission as indicated below.

Email: The final invention statement may be e-mailed as PDF attachments to:
NIHCloseoutCenter@mail.nih.gov.

Hard copy: Paper submissions of the final invention statement may be faxed to the NIH Division of Central Grants Processing, Grants Closeout Center, at 301-480-2304, or mailed to:

National Institutes of Health
Office of Extramural Research
Division of Central Grants Processing
Grants Closeout Center
6705 Rockledge Drive
Suite 5016, MSC 7986
Bethesda, MD 20892-7986 (for regular or U.S. Postal Service Express mail)
Bethesda, MD 20817 (for other courier/express deliveries only)

NOTE: If this is the final year of a competitive segment due to the transfer of the grant to another institution, then a Final RPPR is not required. However, a final expenditure FFR is required and should be submitted electronically as noted above. If not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

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 – OD Special Terms and Conditions – 1S10OD025178-01A1

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.

SUBJECT FOA

This award is subject to the conditions set forth in PAR18-600, "Shared Instrumentation Grant (SIG) Program (S10 Clinical Trial Not Allowed)," which are hereby incorporated by reference as special terms and conditions of this award. Copies of this Funding Opportunity Announcement can be found at the following link: <https://grants.nih.gov/grants/guide/pa-files/PAR-18-600.html>

ORIP FUNDING PLAN FOR FY2019

This competing award reflects the NIH Fiscal Policy for Grant Awards for FY2019 (see NIH Guide Notice [NOT-19-031](#)) and the implementation of the ORIP FY2019 grants funding policy: <https://orip.nih.gov/funding/awards-funding-policy>

PRIOR APPROVAL REQUEST

Any prior approval request (e.g., changes to key personnel as noted on the award, changes in human and animal subjects requiring prior approval, carryover requests) must be submitted to the assigned Grants Management Specialist and Programmatic Official. Please refer to Part II Chapter 8 the NIH Grants Policy Statement for the activities and/or expenditures that require NIH approval at <http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>

ANNUAL EQUIPMENT USAGE REPORT

For the period of four years after the final progress report, annual equipment usage reports must be provided to the NIH. The annual equipment usage reports must include:

1. The equipment usage records, specifically the name of the user; number of hours used per year; and the active supporting NIH grants of the user.
2. Machine downtime and explanation of any remediation plans.
3. Any changes in administrative and technical operation of the equipment from originally described in the application.
4. A list of publications and other research reports depending, in part, on use of the awarded instrument. The publication list should be consistent with the [NIH Public Access Policy](#).

This report will be due annually on 06/01 for the four years following the submission of the Final Progress Report. These reports should be submitted by the Authorized Organization Representative (AOR) to the ORIP Division of Construction and Instrumentation at SIG@mail.nih.gov as a pdf attachment.

FINAL PROGRESS REPORT

A final progress report is due no later than 120 days after the expiration of the grant. Please prepare the report as instructed below. List identifying data items in the following format:

Grant No. 1 S10OD025178-01

Principal Investigator: (Name, Institution, Department, Address)

Funding Period:

Name of Instrument: (including manufacturer, model)

Total Purchase Cost:

Total ORIP Award:

Other Sources of Funding: (if possible)

Describe the instrument purchased, its usage and its impact on the research community, specifically the NIH funded users. Use a summary table to list the names of the current major users (last, first), the complete NIH grant numbers (e.g. 5R01HL123456-01A1), brief titles of the projects, and the percentage of use.

Describe the administration, operation, and plans for the maintenance of the instrument.

Describe (in language understandable to the lay public) any research accomplishments resulting from the use of the instrumentation. Explain the developments in terms of their contributions to new knowledge and potential for the improvement of human health. Provide references to publications, if available, and their PubMed Central ID (PMCID) numbers.

Include any other additional information which you would consider useful to the NIH.

Please note that no Final Invention Statement (HHS 568) is needed.

The Final Progress Report should be submitted electronically by your institution's signing official through the Closeout feature in eRA Commons. Any publications on your final progress report should be consistent with the [NIH Public Access Policy](#). Include PMCID numbers.

USERS ACKNOWLEDGMENT

Please advise all users of the shared instrument to acknowledge the support of the S10 award in their publications.

COMMUNICATIONS/PRESS RELEASE

If the grantee plans to issue a press release concerning the outcome of ORIP grant-supported research, it should notify Ms. Patricia Newman, ORIP Communications at 301-435-0744, in advance to allow for coordination.

The ORIP WWW home page is at <https://orip.nih.gov/>

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: Karen Brummett
Email: brummettk@mail.nih.gov **Phone:** (301)594-6268 **Fax:** (301)480-3777

Program Official: Malgorzata Klosek
Email: klosek@csr.nih.gov **Phone:** 301-435-2211

SPREADSHEET SUMMARY

GRANT NUMBER: 1S10OD025178-01A1

INSTITUTION: University of Louisville Research Foundation, Inc.

Budget	Year 1
Equipment	\$363,800
TOTAL FEDERAL DC	\$363,800
TOTAL FEDERAL F&A	\$0
TOTAL COST	\$363,800