

FDP Subaward Amendment

Amendment No1

Subaward No0001148463

Pass-Through Entity (PTE)

Subrecipient

Fred Hutchinson Cancer Center

Entity NameCity and County of San Francisco, Public H

Contact Email

Fei Gao

Principal InvestigatorSusan Buchbinder

Project Title

Statistical Methods for Advancing HIV Prevention

PTE/Prime Award No. 1 R01 AI177078-01

Awarding AgencyNational Institutes of Health (NIH)

Cumulative Budget Period(s)

(Agreement Start Date)

(End Date of Latest Budget Period)

Amount Funded This Action

Total Amount of Funds Obligated to Date

Start Date: 03/01/2023

End Date: 02/28/2025

\$35,965.00

\$70,505.00

Subrecipient Cost Share

Subject to FFATA

Subrecipient UEI (Unique Entity Identifier - May leave blank if unchanged from prior Agreement)

Amendment(s) to Original Terms and Conditions

This Amendment revises the above-referenced Subaward Agreement as follows:

Additional Budget Period

Additional budget period 03/01/2024 - 02/28/2025 is hereby added to this Su

No Cost Extension

Additional Funding

Additional funding in the amount of \$35,965.00 is hereby obligated to this Subaward.

Deobligation

Carryover is Automatic

Carryover is allowed across all budget periods.

Carryover Authorized

Detailed Budget/Scope of Work/Notice of Award Attached (Specify if the Budget and Scope of Work are "New", "Revised", or "Supplemental" in dropdown or "Other")

A Notice of Award and Budget is incorporated by attachment to this Amendment.

Other (See Below)

For clarity: all amounts stated in this amendment are in United States Dollars.

All other terms and conditions of this Subaward Agreement remain in full force and effect.

By an Authorized Official of PTE:

Date

5/21/2024

Name

Alexandria Nagel

Title

Sponsored Research Officer, Office of Sp

By an Authorized Official of Subrecipient

Date

DocuSigned by:

Naveena Bobba

05/17/2024

Name

Grant Colfax, MD

Title

Director of Health

Approved as to form, David Chiu, City Attorney

By: 

DocuSigned by: Henry Liffon

**Attachment 1**  
**Revised Budget**  
Subaward No:

Category	Previous Funding		Amendment #	Current Funding	
Direct Labor	\$	20,370.00	\$	21,210.00	\$ 41,580.00
Fringe Benefits		7,333.00		7,636.00	14,969.00
Subcontracts		0.00		0.00	0.00
Consultants		0.00		0.00	0.00
Capital Equipment		0.00		0.00	0.00
Patient Care		0.00		0.00	0.00
Tuition		0.00		0.00	0.00
Supplies		0.00		0.00	0.00
Travel		0.00		0.00	0.00
Other Direct Costs		0.00		0.00	0.00
<b>Total Direct Costs</b>	\$	27,703.00	\$	28,846.00	\$ 56,549.00
F&A		6,837.00		7,119.00	13,956.00
<b>Total Costs</b>	\$	34,540.00	\$	35, 965.00	\$70,505.00
<b>F&amp;A Rate</b>	24.68 %				

**Attachment 3B**

Subaward Number:

**Research Subaward Agreement  
Subrecipient Contacts****Subrecipient Information for FFATA reporting**Entity's UEI/DUNS Name: EIN No.:  Institution Type: UEI / DUNS: DCTNHRGU1K75 Currently registered in SAM.gov: ☒ Yes ☐ NoParent UEI / DUNS:  Exempt from reporting executive compensation: Yes ☒ No ☐  
(if no, complete 3B pg2)**Place of Performance Information for FFATA reporting**

Physical Address, City, State (if U.S.) and Country:

**U.S. Entities only (insert information for Place of Performance):**Congressional District:  Zip Code+4: [Zip Code Look-up](#)**Subrecipient Contacts**Central Email: Website: Principal Investigator Name: Email:  Telephone Number: Administrative Contact Name: Email:  Telephone Number: Financial Contact Name: Email:  Telephone Number: Invoice Email: Authorized Official Name: Email:  Telephone Number: **Legal Address:****Administrative Address:****Payment Address:**

**Attachment 3B Page 2**  
**Research Subaward Agreement**  
**Highest Compensated Officers**

Subaward Number:

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**Subrecipient**Entity Name: PI Name: 

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**Highest Compensated Officers**

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name: Officer 1 Compensation: Officer 2 Name: Officer 2 Compensation: Officer 3 Name: Officer 3 Compensation: Officer 4 Name: Officer 4 Compensation: Officer 5 Name: Officer 5 Compensation:



**Recipient Information****1. Recipient Name**

FRED HUTCHINSON CANCER CENTER  
1100 FAIRVIEW AVE N  
SEATTLE, WA 98109

**2. Congressional District of Recipient**

07

**3. Payment System Identifier (ID)**

1911935159A2

**4. Employer Identification Number (EIN)**

911935159

**5. Data Universal Numbering System (DUNS)**

806433145

**6. Recipient's Unique Entity Identifier**

TJFZLPP6NYL6

**7. Project Director or Principal Investigator**

Fei Gao, PHD

**8. Authorized Official**

Shannon K Lysen

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

Nicole A Guidetti  
Grants Management Program  
NATIONAL INSTITUTE OF ALLERGY AND  
INFECTIOUS DISEASES

**10. Program Official Contact Information**

Misrak Gezmu  
Program Official  
NATIONAL INSTITUTE OF ALLERGY AND  
INFECTIOUS DISEASES

**Federal Award Information****11. Award Number**

5R01AI177078-02

**12. Unique Federal Award Identification Number (FAIN)**

R01AI177078

**13. Statutory Authority**

42 USC 241 42 CFR 52

**14. Federal Award Project Title**

Statistical Methods for Advancing HIV Prevention

**15. Assistance Listing Number**

93.855

**16. Assistance Listing Program Title**

Allergy and Infectious Diseases Research

**17. Award Action Type**

Non-Competing Continuation

**18. Is the Award R&D?**

Yes

**Summary Federal Award Financial Information****19. Budget Period Start Date 03/01/2024 – End Date 02/28/2025**

**20. Total Amount of Federal Funds Obligated by this Action** \$370,816

20 a. Direct Cost Amount \$231,153

20 b. Indirect Cost Amount \$139,663

**21. Authorized Carryover****22. Offset**

**23. Total Amount of Federal Funds Obligated this budget period** \$370,816

**24. Total Approved Cost Sharing or Matching, where applicable** \$0

**25. Total Federal and Non-Federal Approved this Budget Period** \$370,816

**26. Project Period Start Date 03/01/2023 – End Date 02/29/2028**

**27. Total Amount of the Federal Award including Approved Cost** \$801,834

Sharing or Matching this Project Period

**28. Authorized Treatment of Program Income**

Additional Costs

**29. Grants Management Officer - Signature**

Chernay L. Rogers

**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.



**RESEARCH**  
Department of Health and Human Services  
National Institutes of Health

## Notice of Award



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

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### SECTION I – AWARD DATA – 5R01AI177078-02

**Principal Investigator(s):**

Fei Gao, PHD

**Award e-mailed to:** [REDACTED]

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$370,816 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to FRED HUTCHINSON CANCER CENTER 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 Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI177078. 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,

Chernay L. Rogers  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

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

Federal Direct Costs	\$231,153
Federal F&A Costs	\$139,663
Approved Budget	\$370,816
Total Amount of Federal Funds Authorized (Federal Share)	\$370,816
TOTAL FEDERAL AWARD AMOUNT	\$370,816
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$370,816

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$370,816	\$370,816
3	\$412,018	\$412,018
4	\$419,125	\$419,125
5	\$419,125	\$419,125

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

Fiscal Information:

Payment System Identifier:	1911935159A2
Document Number:	RAI177078A
PMS Account Type:	P (Subaccount)
Fiscal Year:	2024

IC	CAN	2024	2025	2026	2027
AI	8472325	\$370,816	\$412,018	\$419,125	\$419,125

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

NIH Administrative Data:

PCC: A20 / OC: 41025 / Released: Rogers, Chernay 01/24/2024  
Award Processed: 01/25/2024 12:07:57 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01AI177078-02

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 – 5R01AI177078-02

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 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) R01AI177078. 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/>.

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 (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:**

Additional Costs

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**SECTION IV – AI SPECIFIC AWARD CONDITIONS – 5R01AI177078-02**

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.

In accordance with the fiscal year 2024 NIAID Financial Management Plan, NIAID is funding non-competing awards at 90% of the committed amount. If the final appropriations permit, adjustments may be made to restore funds at or near the FY24 committed level. See <https://www.niaid.nih.gov/grants-contracts/financial-management-plan>.

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REMINDER: This grant is funded for HIV/AIDS research. Per the NIH Revitalization Act of 1993, funds are restricted for HIV/AIDS research and cannot be re-budgeted for other purposes.

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This Notice of Award (NoA) includes funds for **The City and County of San Francisco**.

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Commitment overlap is not permitted, and occurs when an individual's time commitment exceeds 100 percent (i.e., 12 person months), whether or not salary support is requested. Therefore, no individual's time commitment may exceed 100 percent (i.e., 12 person months). Reductions in

NIH support due to commitment overlap must be made in accordance with NIH policy as outlined in the NIH Grants Policy Statement.

**SPREADSHEET SUMMARY**

**AWARD NUMBER:** 5R01AI177078-02

**INSTITUTION:** FRED HUTCHINSON CANCER CENTER

Facilities and Administrative Costs	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	76%	76%	76%	76%
F&A Cost Base 1	\$183,767	\$204,185	\$218,036	\$218,036
F&A Costs 1	\$139,663	\$155,181	\$165,707	\$165,707