

**Amendment No. 3 to  
Agreement No. 11626sc  
Between  
The Regents of the University of California  
And  
City and County of San Francisco  
Prime Grant Number: 1 NU2GGH002183**

This Agreement between the Regents of the University of California, on behalf of its San Francisco Campus (“UCSF”) and City and County of San Francisco (“Subrecipient”) for the project “” is amended as follows:

**Article I – Scope of Work**

Subrecipient’s scope of work is updated as revised and incorporated in Attachment A.

**Article III – Period of Performance**

The period of performance is September 30, 2020 through September 29, 2021.

**Article IV – Compensation**

Additional funding in the amount of \$57,564 is awarded in accordance with Attachment B for the term referenced in Article III, above. Carryover across budget periods requires prior approval. Carry Forward requests must be sent to UCSF’s Principal Investigator for approval.

Attachment A - Scope of Work


Attachment B - Budget

Attachment C - Award

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

IN WITNESS WHEREOF, the parties hereto have executed this Amendment on the month, day, and year specified below.

For: The Regents of the University of California

DocuSigned by:  
  
4C12100E940E41B...

Name: Phillip De Biase  
Title: Associate Manager, Subcontracts  
Date: 2/8/2021

For: City and County of San Francisco

DocuSigned by:  
  
28527524752040F...

Name: Greg Wagner  
Title: Chief Financial Officer  
Date: 2/8/2021 | 11:06 AM PST

Attachment A

**Appendix A:**

**San Francisco Department of Public Health (SFDPH):**

**1. Name of Contractor:** San Francisco Department of Public Health (SFDPH).

**2. Method of Selection:** The San Francisco Department of Public Health has a well-established reputation in conducting state of the art surveillance in HIV/AIDS and is a world leader in second and third generation HIV surveillance methodologies with extensive experience in implementing these methodologies and providing training in this field. SFDPH also has one of the world's most innovative and sophisticated HIV case-based surveillance systems and has hosted many tours of their system from partners around the globe. Their experience in conducting training in local, national, and international institutions within the US and in many countries overseas is of particular importance to the successful completion of this project. Finally, UCSF and SFDPH have a successful history of collaboration in the area of providing technical assistance on HIV surveillance in collaboration within our unit for CDC/PEFPAR projects and in providing TA in SI throughout Central and Southeast Asia.

**3. Period of Performance:** September 30, 2020 to September 29, 2021

**4. Scope of Work:** The SFDPH subcontractor, Dr. Willi McFarland, will support Myanmar project needs. As part of the scope of work, Dr. McFarland will provide technical assistance on HIV surveillance and HIV research related activities and facilitate or co-facilitate in-country trainings and workshops. He will also be responsible for developing study and training materials and participate regularly on conference calls and meetings.

**5. Method of Accountability:** Subrecipients are contractually required to report regularly on programmatic progress and financial status. UCSF routinely monitors subrecipient progress in all elements of the Scope of Work. Subcontract agreements at UCSF are established with "not to exceed" amounts and payments are issued only upon

receipt of invoices, which are reviewed and approved by UCSF project staff.

**6. Itemized Budget and Justification:** Begins next page

## Attachment B

## Appendix A (continued)

**San Francisco Department of Public Health (SFDPH):****Detailed Budget and Justification**

**Salaries and Wages:** **Total: \$39,460**

**Willi McFarland, MD, PhD, MPH&TM**, Director of Surveillance, Professor and Faculty Advisor, UCSF and Director of the Center for Public Health Research at SFDPH, will provide technical assistance on all surveillance planning and implementation activities in Myanmar, and lead in-country technical trainings/workshops. We request 20% (\$39,460) salary support for this position for 12 months.

**Fringe Benefit:** **Total: \$11,937**

The fringe benefit rate for this subcontract is calculated as follows:

|                  | <u>Salary Requested</u> | <u>% Benefit Rate</u> | <u>Total Fringe Benefits</u> |
|------------------|-------------------------|-----------------------|------------------------------|
| McFarland, Willi | \$ 39,460               | 30.25%                | \$ 11,937                    |

**Total Direct Costs** **Total: \$51,397**

**Indirect Cost Rates:** **Total: \$6,167**

The indirect cost rate is 12% of total direct expenses and is in compliance with the bilateral agreement between UCSF and SFDPH.

**Total Cost Requested:** **Total: \$57,564**

**San Francisco Department of Public Health Subcontract**  
**Budget Period: 9/30/2020-9/29/2021**  
**Budget Name: SIQHIL Burma YR 2 Continuation Budget**

**A. Salaries and Wages**

| <b>Personnel</b>       | <b>Position Title</b>    | <b>Current<br/>Salary</b> | <b>% effort</b> | <b># mos.</b> | <b>(A)</b>    |                 | <b>(B)</b>   |          |  |
|------------------------|--------------------------|---------------------------|-----------------|---------------|---------------|-----------------|--------------|----------|--|
|                        |                          |                           |                 |               | <b>Salary</b> | <b>Benefits</b> | <b>Total</b> |          |  |
| McFarland, Willi       | Director of Surveillance | \$197,300                 | 20%             | 12            | \$39,460      | \$11,937        | \$51,397     |          |  |
|                        |                          |                           |                 |               |               |                 | \$0          |          |  |
|                        |                          |                           |                 |               |               |                 | \$0          |          |  |
| <b>Total Personnel</b> |                          |                           |                 |               | 20%           | \$39,460        | \$11,937     | \$51,397 |  |

**Total Direct Costs**

\$51,397

Overhead at 12%

\$6,167**Grand Total****\$57,564**



DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU2GGH002183-02-02  
FAIN# NU2GGH002183  
Federal Award Date: 12/11/2020

**Recipient Information**

**1. Recipient Name**

Regents Of The University Of California, San Francisco, The  
1855 Folsom St Ste 425  
San Francisco, CA 94143-4249  
[No Phone Record]

**2. Congressional District of Recipient**

12

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

1946036493A6

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

946036493

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

094878337

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

**7. Project Director or Principal Investigator**

Dr. GEORGE WILLIAMS RUTHERFORD546030  
Professor  
George.Rutherford@ucsf.edu  
4154765781

**8. Authorized Official**

Ms. Magdalene Cho  
Contracts and Grants Officer  
maggie.cho@ucsf.edu  
415-502-8752

**Federal Agency Information**

CDC Office of Financial Resources

**9. Awarding Agency Contact Information**

Mrs. Erica Stewart  
Grants Management Officer  
ity9@cdc.gov  
770-488-2769

**10. Program Official Contact Information**

Mrs. Priyanka Rathod  
PBEMB CoAg Specialist  
wnv9@cdc.gov  
404-718-5243

**Federal Award Information**

**11. Award Number**

6 NU2GGH002183-02-02

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

NU2GGH002183

**13. Statutory Authority**

42 USC 287b 31 USC 6305 42 CFR 63a

**14. Federal Award Project Title**

GH19-1951 Targeted HIV/TB Strategic Information Technical Assistance for President's Emergency Plan for AIDS Relief (PEPFAR) and Global Fund to Fight AIDS, Tuberculosis and Malaria (GFATM) Countries

**15. Assistance Listing Number**

93.067

**16. Assistance Listing Program Title**

Global AIDS

**17. Award Action Type**

Component/Project funding

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

No

**Summary Federal Award Financial Information**

**19. Budget Period Start Date** 09/30/2020 - **End Date** 09/29/2021

**20. Total Amount of Federal Funds Obligated by this Action**

20a. Direct Cost Amount  
20b. Indirect Cost Amount

**21. Authorized Carryover**

**22. Offset**

**23. Total Amount of Federal Funds Obligated this budget period**

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

**25. Total Federal and Non-Federal Approved this Budget Period**

**26. Project Period Start Date** 09/30/2019 - **End Date** 09/29/2024

**27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period**

**28. Authorized Treatment of Program Income**

ADDITIONAL COSTS

**29. Grants Management Officer - Signature**

Ms. Shicann Phillips  
Lead Grants Management Specialist

**30. Remarks**



DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Disease Control and Prevention

Notice of Award

Award# 6 NU2GGH002183-02-02  
FAIN# NU2GGH002183  
Federal Award Date: 12/11/2020

|   |
|---|
| <p><b>Recipient Information</b></p> <p><b>Recipient Name</b><br/>Regents Of The University Of California, San Francisco, The<br/>1855 Folsom St Ste 425<br/>San Francisco, CA 94143-4249<br/>[No Phone Record]</p> <p><b>Congressional District of Recipient</b><br/>12</p> <p><b>Payment Account Number and Type</b><br/>1946036493A6</p> <p><b>Employer Identification Number (EIN) Data</b><br/>946036493</p> <p><b>Universal Numbering System (DUNS)</b><br/>094878337</p> <p><b>Recipient's Unique Entity Identifier</b><br/>Not Available</p> |
| <p><b>31. Assistance Type</b><br/>Cooperative Agreement</p> <p><b>32. Type of Award</b><br/>Demonstration</p>   |

|   |            |
|---|------------|
| <b>33. Approved Budget</b><br>(Excludes Direct Assistance)                          |            |
| I. Financial Assistance from the Federal Awarding Agency Only                       |            |
| II. Total project costs including grant funds and all other financial participation |            |
| a. Salaries and Wages   | ██████████ |
| b. Fringe Benefits  | ██████████ |
| c. Total Personnel Costs  | ██████████ |
| d. Equipment  | ██████████ |
| e. Supplies   | ██████████ |
| f. Travel   | ██████████ |
| g. Construction   | ██████████ |
| h. Other  | ██████████ |
| i. Contractual  | ██████████ |
| j. TOTAL DIRECT COSTS   | ██████████ |
| k. INDIRECT COSTS   | ██████████ |
| l. TOTAL APPROVED BUDGET  | ██████████ |
| m. Federal Share  | ██████████ |
| n. Non-Federal Share  | ██████████ |

| <b>34. Accounting Classification Codes</b> |                      |                     |              |                                 |                     |
|--|----------------------|---------------------|--------------|---------------------------------|---------------------|
| FY-ACCOUNT NO.                             | DOCUMENT NO.         | ADMINISTRATIVE CODE | OBJECT CLASS | AMT ACTION FINANCIAL ASSISTANCE | APPROPRIATION       |
| 1-939099X                                  | 19NU2GGH002183WHCC   | GH                  | 41.51        | ██████████                      | 75-19-1721-1031-001 |
| 1-93909D9                                  | 19NU2GGH00218319ABCO | GH                  | 41.51        | ██████████                      | 75-19-1721-1031-001 |
| 1-9390BKZ                                  | 19NU2GGH00218319ABCO | GH                  | 41.51        | ██████████                      | 75-19-1822-1031-001 |
| 1-9390BL2                                  | 19NU2GGH002183WHCC   | GH                  | 41.51        | ██████████                      | 75-19-1822-1031-001 |
| 1-9390FU0                                  | 19NU2GGH002183WHCC   | GH                  | 41.51        | ██████████                      | 75-2122-0955        |
| 1-939ZLRV                                  | 19NU2GGH002183WHCC   | GH                  | 41.51        | ██████████                      | 75-19-X-1031-001    |


**DEPARTMENT OF HEALTH AND HUMAN SERVICES** Notice of Award

Centers for Disease Control and Prevention

Award# 6 NU2GGH002183-02-02

FAIN# NU2GGH002183

Federal Award Date: 12/11/2020

**Direct Assistance**

| BUDGET CATEGORIES | PREVIOUS AMOUNT (A) | AMOUNT THIS ACTION (B) | TOTAL (A + B) |
|-------------------|---------------------|------------------------|---------------|
| Personnel         | \$0.00              | \$0.00                 | \$0.00        |
| Fringe Benefits   | \$0.00              | \$0.00                 | \$0.00        |
| Travel            | \$0.00              | \$0.00                 | \$0.00        |
| Equipment         | \$0.00              | \$0.00                 | \$0.00        |
| Supplies          | \$0.00              | \$0.00                 | \$0.00        |
| Contractual       | \$0.00              | \$0.00                 | \$0.00        |
| Construction      | \$0.00              | \$0.00                 | \$0.00        |
| Other             | \$0.00              | \$0.00                 | \$0.00        |
| Total             | \$0.00              | \$0.00                 | \$0.00        |





**DEPARTMENT OF HEALTH AND HUMAN SERVICES** Notice of Award

Centers for Disease Control and Prevention

Award# 6 NU2GGH002183-02-02

FAIN# NU2GGH002183

Federal Award Date: 12/11/2020

**35. Terms And Conditions**

Federal Financial Report Cycle

| Reporting Period Start Date | Reporting Period End Date | Reporting Type | Reporting Period Due Date |
|-----------------------------|---------------------------|----------------|---------------------------|
| 09/30/2020                  | 09/29/2021                | Annual         | 12/28/2021                |

## AWARD ATTACHMENTS

Regents Of The University Of California, San Francisco, The

6 NU2GGH002183-02-02

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1. Terms and Conditions
2. PO Budget Mark-up

## AWARD INFORMATION

**Component/Project Funding:** The purpose of this revised Notice of Award (NOA) is to award component funding in the amount of [REDACTED] the approved component funding levels for this notice of award are:

| NOFO Component/Country | Amount     |
|------------------------|------------|
| CRO HIV 3              | [REDACTED] |
| CRO HIV4               | [REDACTED] |
| Burma Comp 2           | [REDACTED] |

**Budget by Project/Activities/Category/Component Funding:** Recipients must ensure to track and report project funding and activities by projects. Projects costs cannot be redirected between projects categories/component without prior CDC approval.

**Future Component Funding Requirement:** For any future component funding, a separate budget along with a budget narrative/justification and workplan is required for each component being funded. Failure to provide the requested information, may negatively affect future funding.

## FUNDING RESTRICTIONS AND LIMITATIONS

### Use of CDC funding for the Procurement of PPE and other Essential Medical Supplies / Procurement of "Covered Materials":

- Except as provided in paragraph 2, below, and notwithstanding anything in this award to the contrary, no funds under this award may be used for the procurement of "Covered Materials" as listed below without the prior written consent of the Grants Management Officer (GMO) For purposes of this provision, "Covered Materials" shall consist of the following:
  - N95 Filtering Facepiece Respirators, including devices that are disposable half-face-piece non- powered air-purifying particulate respirators intended for use to cover the nose and mouth of the wearer to help reduce wearer exposure to pathogenic biological airborne particulates;
  - Other Filtering Facepiece Respirators (e.g., those designated as N99, N100, R95, R99, R100, P95, P99, or P100), including single-use, disposable half-mask respiratory protective devices that cover the user's airway (nose and mouth) and offer protection from particulate materials at an N95 filtration efficiency level per 42 CFR 84.181;
  - Elastomeric, air-purifying respirators and appropriate particulate filters/cartridges;
  - PPE surgical masks, including masks that cover the user's nose and mouth and provide a physical barrier to fluids and particulate materials;
  - PPE gloves or surgical gloves, including those defined at 21 CFR 880.6250 (exam gloves) and 878.4460 (surgical gloves) and such gloves intended for the same purposes;
  - Ventilators;
  - COVID-19 test kits;
  - Ancillary laboratory reagents; and
  - Specimen collections materials that are meant for the United States market.

For clarity, non-medical grade masks, including cloth masks, are not included in the list of "Covered Materials" above. Further, the list of "Covered Materials" may be modified from time-to-time in writing by the GMO, if changes to the list occur.

2. The restrictions set forth in paragraph 1, above, shall not apply to the procurement of Covered Materials under the following circumstances:
  - For the protection of and use by recipient staff; or
  - When such procurements are needed to ensure continuity of safe and effective implementation of health or other public health programs, such items may be procured locally or regionally, provided that such items are not, and could not reasonably be expected to be, meant for the United States market. Recipients must document this determination in their files or records and provide a copy of such documentation to their cognizant GMOs.

The exceptions set forth in this paragraph may be changed by the GMO in writing, as necessary.

When recipients rely on the second exception above regarding the procurement of Covered Material manufactured locally or regionally, they should engage in conversations with vendors and manufacturers to ensure the Covered Material being procured is not, and could not reasonably be, intended for the U.S. market.

**Special Provision for HHS Protecting Life in Global Health Assistance is applicable to this award.** In accordance with the United States Protecting Life in Global Health Assistance policy, a non-governmental organization (NGO) recipient of this award acknowledges that foreign NGOs that receive funds provided through this award, either as a prime recipient or subrecipient, are strictly prohibited, regardless of the source of funds, from performing abortions as a method of family planning or engaging in any activity that promotes abortion as a method of family planning, or to provide financial support to any other foreign non-governmental organization that conducts such activities. See Additional Requirement (AR) 35 to ensure compliance with this term and condition. The link to the full text is at: <https://www.cdc.gov/grants/federal-regulations-policies/index.html>

**PAYMENT INFORMATION**

**Payment Management System Subaccount:** Funds awarded in support of approved activities have been obligated in a subaccount in the PMS, herein identified as the "P Account". Funds must be used in support of approved activities in the NOFO and the approved application.

This award may contain funding from multiple components. The grant document number(s) identified on Page 2 of the Notice of Award and component name.

|                                       |
|---------------------------------------|
| Country/Component: Burma              |
| Document Number: 19NU2GGH00218319ABCO |

|  |
|--|
| Country/Component: Caribbean Regional Office (CRO) |
| Document Number: 19NU2GGH002183WHCC                |

**Stewardship:** Please be advised that the recipient must exercise proper stewardship over Federal funds by ensuring that all costs charged to their cooperative agreement are allowable, allocable, necessary, and reasonable.

All other terms and conditions issued with the original award remain in effect throughout the budget period unless otherwise changed in writing, by the Grants Management Officer.

**PLEASE REFERENCE AWARD NUMBER ON ALL CORRESPONDENCE**

**OGS Staff Contacts**

**GMS Contact:**

Erica Stewart, Grants Management Specialist  
Centers for Disease Control and Prevention  
Branch 3  
2939 Flowers Road  
Atlanta, GA 30341  
Email: [ity9@cdc.gov](mailto:ity9@cdc.gov)  
Phone 770-488-2769

## DGHT Component Funding Budget Mark-Up and Programmatic Restrictions

### GENERAL COAG INFORMATION

|                              |                         |
|------------------------------|-------------------------|
| <b>Country or HQ Branch:</b> | HQ/ Burma and Caribbean |
| <b>Recipient:</b>            | UCSF                    |
| <b>NOFO #:</b>               | GH19-1951               |
| <b>CoAg Award #:</b>         | GH002183                |
| <b>Budget Period Year:</b>   | 2                       |

### COMPONENT FUNDING BUDGET BREAKDOWN - Enter the object class breakdown for each component being funded in the table below

| Name of Component<br><small>(set at continuation/new award)</small> | CRO HIV 3 | CRO HIV4 | Burma Comp 2 |  |  | <b>TOTAL</b> |
|---|-----------|----------|--------------|--|--|--------------|
| <b>Personnel</b>  |           |          |              |  |  |              |
| <b>Fringe Benefits</b>  |           |          |              |  |  |              |
| <b>Travel</b>   |           |          |              |  |  |              |
| <b>Equipment</b>  |           |          |              |  |  |              |
| <b>Supplies</b>   |           |          |              |  |  |              |
| <b>Contractual</b>  |           |          |              |  |  |              |
| <b>Facilities/Construction</b>                                      |           |          |              |  |  |              |
| <b>Other</b>  |           |          |              |  |  |              |
| <b>TOTAL Direct Charges</b>   |           |          |              |  |  |              |
| <b>Indirect Charges</b>   |           |          |              |  |  |              |
| <b>TOTALS</b>   |           |          |              |  |  |              |

## Programmatic Budgetary Comments

### **Marked-Up Budget Certification (select one)**

This box signifies the Project Officer's official review of the applicant's proposed budget for the component(s) to be funded. This box also indicates whether a revised budget is required. PBEMB will consider a Component Funding action to be **incomplete** if this box is left unchecked.

The recommended budget should be outlined in the first page of this form for component funding actions.

- I certify that I support the recipient's proposed budget submitted in this application as it relates to the technical aspects of the project. No changes are required and no restrictions are recommended.
- I wish to make changes to the recipient's proposed budget. **A revised budget will be required.**

**If additional space is needed to justify the recommended funding amount and any changes made to the budget, please use this space below to provide detailed comments for the recipient:**

*(Please use bullets and reference your comments with page numbers from the recipient budget)*

**Programmatic Restrictions:**

**Indicate programmatic restrictions in table below (if applicable):** Do not put potential human subjects or IRB restrictions or conditions in this section:

**PLEASE NOTE BEFORE COMPLETING RESTRICTIONS:**

- Recipients are not always funded at the level of the approved budget period ceiling, generally due to delays in CDC's receipt of funds. As such, **do not penalize recipients for not completing unfunded activities.**
- When possible, the response to TR should be used as a management tool, as opposed to restricting funds. **Funds should only be restricted when absolutely necessary.**
- Only include programmatic restrictions that should be put in place for the funding components that will be awarded at this time. If future restrictions are needed, they can be added once future funding components are awarded.

| Object Classification | Programmatic Restriction |
|-----------------------|--------------------------|
| Salaries              | \$                       |
| Fringe Benefits       | \$                       |
| Consultants           | \$                       |
| Equipment             | \$                       |
| Supplies              | \$                       |
| Travel                | \$                       |
| Other                 | \$                       |
| Contractual           | \$                       |
| Direct Costs          | \$0                      |
| Indirect Costs        | \$                       |
| Total                 | \$0                      |

**If additional space is needed to justify the programmatic restrictions, please use this space below to provide detailed comments for the recipient:**

*(Please use bullets and reference your comments with page numbers from the recipient budget)*

Not Applicable