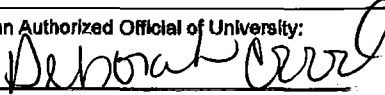



Research Subaward Agreement Amendment

Prime Recipient		Subrecipient	
Institution/Organization ("University") Name: The Regents of the University of California Office of Sponsored Research Division of Contracts and Grants University of California, San Francisco 3333 California Street, Suite 315 San Francisco, CA 94143-0962		Institution/Organization ("Subrecipient") Name: City & County of San Francisco Department of Public Health Address: 1380 Howard Street, 4th Floor San Francisco, CA 94105 EIN: 94-8000417	
Prime Award No. 5R01 MH096642-03		Subaward No. 7238sc	Principal Investigator Dr. William McFarland
Department ID and FUND Number: 138342-4000		Amendment No. 2	
Amendment(s) to Original Terms and Conditions			
<ul style="list-style-type: none"> • Period of Performance: will be extended from July 1, 2014 through June 30, 2015. • Scope of Work: The Scope of Work is modified to include those tasks in Attachment A. • The amount funded by this amendment is \$112,171.00 as itemized in attachment B. <p>An unobligated balance may be carried over into the next budget period without prior Approval.</p> <p>Applicable Agency policies of the current Award are hereby incorporated. The Notice of Award is included as Attachment C.</p>			
All other terms and conditions of this Subaward Agreement remain in full force and effect.			
By an Authorized Official of University: 		By an Authorized Official of Subrecipient: 	
Name: Regnier Jurado Title: Associate Director Research Management Services (RMS) Office of Sponsored Research		Name: Tomás J. Aragón, MD, DrPH Title: Director, Population Health Division (PHD)	
Date: 10/27/14		Date: 10/23/14	

SCOPE OF WORK
San Francisco Department of Public Health

The proposed study will significantly contribute to the field of HIV prevention by identifying drivers of the HIV epidemic and ways to interrupt forward transmission. In this study, Dr. Willi McFarland, as Principal Investigator of the subcontract and Co-Investigator of the research project, will provide scientific oversight on the development and implementation of the study. Dr. McFarland, along with Dr. Susan Scheer, will jointly supervise the epidemiologists and health project coordinator working on the study.

The duties and responsibilities include:

- Coordinate the merging protocol of various databases
- Manage study data
- Coordinate the recruitment of interview participants
- Ensure data quality
- Perform data analyses
- Assist with the interpretation and dissemination of study findings

Project Deliverables:

- Implement database merges on a quarterly basis
- Perform cluster analyses on a quarterly basis
- Coordinate participant recruitment on an as-needed basis
- Conduct data analyses on a quarterly basis

SAN FRANCISCO DEPARTMENT OF PUBLIC HEALTH
AIDS Office - HIV Epidemiology Section
 HIV Transmission Cluster analysis to Informa Prevention
 July 1, 2014 - June 30, 2015
 Year 3

ATTACHMENT B

pt / DN: HPH-03
 nd Group: 2S/CHS/GNC
 lex Code: HCHIVEPIDMGR
 ant Code: HCA066
 ant Detail: 1500

NIH CAP \$181,500

CATEGORY/LINE ITEM	Annual Salary	Annual Frin Ben	Total Annual Sal/Frin Ben	% OF TIME	% OF FTE	Monthly Rate	Mth	Salary Budget	Frin Ben Budget	Total Budget	Comments
PERSONNEL											
SEROEPIDEMIOLOGY											
1. Supv Physician Specialist 2233 9 W. McFarland	181,500	54,450	235,950	1%	0.01	15,125	12	1,815	545	2,360	
2. Manager I 0922 5 S. Scheer	117,762	52,993	170,755	10%	0.10	9,814	12	11,776	5,299	17,075	
3. Health Program Coordinator II 2591 5 V. Deigado	60,220	36,088	126,308	25%	0.25	7,518	8	15,037	6,015	21,051	
4. Epidemiologist II 2803 5 S. Pipkin	102,440	40,976	143,416	25%	0.25	8,537	12	25,610	10,244	35,854	
TOTAL SALARY/FRINGE	491,922	184,507	676,429		0.61			54,238	22,102	76,340	
00101 SALARIES										54,238	
00103 FRNG BN										22,102	
SUB TOTAL										76,340	
VEL											
1. Local Travel (02301)										0	
2. Out-of-Jurisdiction Travel(02101)										0	
Sub Total TRAVEL										0	
EQUIPMENT											
1. Computers (06061)										0	
Sub Total EQUIPMENT										0	
MATERIALS AND SUPPLIES											
1. Office supplies (04951)										0	
2. Non-Inventoried Equipment										0	
Sub Total SUPPLIES										0	
CONTRACTUAL SERVICES (02789)											
1. PHFE										26,669	
2. SFDPH-Public Health Laboratory										0	
Sub Total CONTRACTS										26,669	

SAN FRANCISCO DEPARTMENT OF PUBLIC HEALTH
AIDS Office - HIV Epidemiology Section
HIV Transmission Cluster analysis to Informa Prevention
July 1, 2014 - June 30, 2015
Year 3

pt / Div: HPH-03
 nd Group: 2S/CHS/GNC
 lex Code: HCHIVEPIDMGR
 ant Code: HCA066
 ant Detail: 1500

NIH CAP \$181,500

CATEGORY/LINE ITEM	Annual Salary	Annual Frin Ben	Total Annual Sal/Frin Ben	% OF TIME	% OF FTE	Monthly Rate	Mth	Salary Budget	Frin Ben Budget	Total Budget	Comments
OTHER											
1. Rent support/mtg fac (03011)										0	
2. Telephone/Com (03241)										0	
3. Postage (03561)										0	
4. Delivery/Courier srvc (03521)										0	
5. Reproduction/Photocopy										0	
a. Photocopier leasing (03131)										0	
b. Photocopier maint (02931)										0	
c. Repro srvc (In House)(03551)										0	
6. Print/Slide srvc (Outside)(03552)										0	
7. Promotion/Advertis (03599)										0	
8. Stipend (02783)										0	
9. Staff training (02201)										0	
10. Other Prof. Svcs (02799)										0	
11. IRB fees (02799)										0	
Sub TOTAL OTHER										<u>0</u>	
TOTAL DIRECT COST										<u>103,009</u>	
BUDGET SUMMARY											
A. SALARIES				FTE =	0.61					54,238	
B. MANDATORY FRINGE										22,102	
C. TRAVEL										0	
D. EQUIPMENT										0	
E. MATERIALS AND SUPPLIES										0	
F. CONTRACT / MOU										26,669	
G. OTHER										0	
DIRECT COSTS										<u>103,009</u>	
H. INDIRECT COST (12% of total salaries)										9,161	
TOTAL BUDGET										<u>112,171</u>	
AWARD										<u>112,171</u>	
										0	

Notice of Award

Issue Date: 07/07/2014



RESEARCH
Department of Health and Human Services
National Institutes of Health
NATIONAL INSTITUTE OF MENTAL HEALTH

**Grant Number:** 5R01MH096642-03**FAIN:** R01MH096642**Principal Investigator(s):**
HONG-HA M TRUONG, PHD**Project Title:** HIV Transmission Cluster Analysis to Inform Prevention

Eunice Change
Contracts & Grants Officer
3333 California Street
Suite 315
San Francisco, CA 941186215

Award e-mailed to: cgrasteam@ucsf.edu**Budget Period:** 07/01/2014 – 06/30/2015**Project Period:** 09/01/2012 – 06/30/2017

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$372,916 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF CALIFORNIA, SAN FRANCISCO 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 National Institute Of Mental Health of the National Institutes of Health under Award Number R01MH096642. 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,

Carmen A. Herbert
Grants Management Officer
NATIONAL INSTITUTE OF MENTAL HEALTH

Additional information follows

SECTION I – AWARD DATA – 5R01MH096642-03**Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$318,503
Federal F&A Costs	\$54,413
Approved Budget	\$372,916
Federal Share	\$372,916
TOTAL FEDERAL AWARD AMOUNT	\$372,916

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$372,916

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
3	\$372,916	\$372,916
4	\$368,928	\$368,928
5	\$347,648	\$347,648

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

Fiscal Information:

CFDA Number: 93.242
EIN: 1946036493A6
Document Number: RMH096642A

PMS Account Type: G (Pooled)
Fiscal Year: 2014

IC	CAN	2014	2015	2016
MH	8472592	\$372,916	\$368,928	\$347,648

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

NIH Administrative Data:

PCC: 9A-ASGP / OC: 414E / Released: HERBERTC 07/03/2014
Award Processed: 05/08/2014 01:52:21 PM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01MH096642-03

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 – TERMS AND CONDITIONS – 5R01MH096642-03

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:

- 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 74 or 45 CFR Part 92 as applicable.
- The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- 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.)

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V 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 Central Contractor Registration. 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) R01MH096642. 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/>.

**Treatment of Program Income:
Additional Costs**

SECTION IV – MH Special Terms and Conditions – 5R01MH096642-03

AWARD NOTICE:

This award has been made in response to the application submitted under the Funding Opportunity Announcement PA-10-067 which can be referenced at: <http://grants.nih.gov/grants/guide/pa-files/PA-10-067.html>.

CONSORTIUM/CONTRACTUAL COSTS:

This award includes funds for consortium activity with following organizations. Each consortium is to be established and administered in accordance with the NIH Grants Policy Statement dated October 2013. No foreign performance site may be added to this project without the written prior approval of the National Institute of Mental Health.

1. The J. David Gladstone Institutes
2. San Francisco Department of Public Health

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: Jane Z. Lin
Email: linja@mail.nih.gov **Phone:** 301-443-2229 **Fax:** 301-480-1956

Program Official: Cynthia I. Grossman
Email: grossmanc@mail.nih.gov **Phone:** 301-443-8962 **Fax:** 301-443-9719

SPREADSHEET SUMMARY

GRANT NUMBER: 5R01MH096642-03

INSTITUTION: UNIVERSITY OF CALIFORNIA, SAN FRANCISCO

Facilities and Administrative Costs	Year 3	Year 4	Year 5
F&A Cost Rate 1	26%	26%	26%
F&A Cost Base 1	\$209,279	\$205,885	\$188,763
F&A Costs 1	\$54,413	\$53,530	\$49,078