

File No. 201367

Committee Item No. 11

Board Item No. 14

## COMMITTEE/BOARD OF SUPERVISORS

### AGENDA PACKET CONTENTS LIST

Committee: Budget & Finance Committee

Date January 27, 2021

Board of Supervisors Meeting

Date February 2, 2021

#### Cmte Board

- |                                     |                                     |  |
|-------------------------------------|-------------------------------------|--|
| <input type="checkbox"/>            | <input type="checkbox"/>            | Motion                                       |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Resolution                                   |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Ordinance                                    |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Legislative Digest                           |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Budget and Legislative Analyst Report        |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Youth Commission Report                      |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Introduction Form                            |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Department/Agency Cover Letter and/or Report |
| <input type="checkbox"/>            | <input type="checkbox"/>            | MOU  |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Grant Information Form                       |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Grant Budget                                 |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Subcontract Budget                           |
| <input checked="" type="checkbox"/> | <input checked="" type="checkbox"/> | Contract/Agreement                           |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Form 126 – Ethics Commission                 |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Award Letter                                 |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Application                                  |
| <input type="checkbox"/>            | <input type="checkbox"/>            | Public Correspondence                        |

#### OTHER (Use back side if additional space is needed)

<input type="checkbox"/>	<input type="checkbox"/>	_____
<input type="checkbox"/>	<input type="checkbox"/>	_____
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Completed by: Linda Wong Date January 19, 2021

Completed by: Linda Wong Date January 29, 2021

1 [Accept and Expend Grant - Retroactive - Centers for Disease Control and Prevention - The  
2 Regents of the University of California, San Francisco - Recent Infection Surveillance  
3 Consortium - \$124,904]

4 **Resolution retroactively authorizing the Department of Public Health to accept and**  
5 **expend a grant increase in the amount of \$43,173 for a total amount of \$124,904 from**  
6 **the Centers for Disease Control and Prevention through the Regents of the University**  
7 **of California, San Francisco for participation in a program, entitled “Recent Infection**  
8 **Surveillance Consortium,” for the period of August 1, 2019, through September 29,**  
9 **2021.**

10  
11 WHEREAS, The Centers for Disease Control and Prevention (CDC), through the  
12 Regents of the University of California, San Francisco (UCSF) as a pass-through entity, has  
13 agreed to fund the Department of Public Health (DPH) in the amount of \$124,904 for  
14 participation in a program, entitled “Recent Infection Surveillance Consortium,” for the period  
15 of August 1, 2019, through September 29, 2021; and

16 WHEREAS, In close collaboration with UCSF, DPH will provide technical  
17 assistance and capacity building for rollout of Human Immunodeficiency Virus (HIV) recency  
18 in multiple countries, including Burundi, Cambodia, Kenya, Malawi, Namibia, Thailand/Laos,  
19 Uganda, Vietnam, and Zambia; and

20 WHEREAS, William McFarland, Director of Surveillance, has several years of  
21 experience working on surveillance in general and key populations, in both domestic and  
22 international settings, and will provide high-level technical assistance on surveillance strategy  
23 for HIV recency; and

24 WHEREAS, A grant increase of \$43,173 from \$81,731 was approved for the period of  
25 August 1, 2019, through September 29, 2021 for a total amount of \$124,904; and

1           WHEREAS, The grant does not require an Annual Salary Ordinance Amendment; and

2           WHEREAS, A request for retroactive approval is being sought because DPH received  
3 the amended award agreement on October 9, 2020, for the full project start date of August 1,  
4 2019; and

5           WHEREAS, The grant budget includes a provision for indirect costs in the amount of  
6 \$13,383; now, therefore, be it

7           RESOLVED, That DPH is hereby authorized to retroactively accept and expend a grant  
8 in the amount of \$124,904 from the CDC through UCSF; and, be it

9           FURTHER RESOLVED, That DPH is hereby authorized to retroactively accept and  
10 expend the grant funds pursuant to Administrative Code, Section 10.170-1; and, be it

11           FURTHER RESOLVED, That the Director of Health is authorized to enter into the  
12 Agreement on behalf of the City; and, be it

13           FURTHER RESOLVED, That within thirty (30) days of the Grant Agreement being fully  
14 executed by all parties, the Director of Health shall provide a copy to the Clerk of the Board of  
15 Supervisors for inclusion in the official file.

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1 Recommended:

Approved: /s/\_\_\_\_\_

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Mayor

3 /s/\_\_\_\_\_

4 Dr. Grant Colfax

Approved: /s/\_\_\_\_\_

5 Director of Health

Controller

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**File Number:** \_\_\_\_\_  
(Provided by Clerk of Board of Supervisors)

**Grant Resolution Information Form**  
(Effective July 2011)

Purpose: Accompanies proposed Board of Supervisors resolutions authorizing a Department to accept and expend grant funds.

The following describes the grant referred to in the accompanying resolution:

1. Grant Title: **Recent Infection Surveillance Consortium**

2. Department: **Department of Public Health  
Center of Public Health Research**

3. Contact Person: **William McFarland** Telephone: **415-437-6251**

4. Grant Approval Status (check one):

Approved by funding agency                       Not yet approved

5. Amount of Grant Funding Approved or Applied for: **\$124,904**  
**(Year 1 August 01, 2019 - September 29, 2019: \$11,535**  
**Year 2 September 30, 2019 - September 29, 2020: \$70,196**  
**Year 3 September 30, 2020 - September 29, 2021: \$43,173)**

6a. Matching Funds Required: **\$0**  
b. Source(s) of matching funds (if applicable): **N.A.**

7a. Grant Source Agency: **Centers for Disease Control and Prevention (CDC)**  
b. Grant Pass-Through Agency (if applicable): **The Regents of the University of California, San Francisco**

8. Proposed Grant Project Summary:

**William McFarland, Director of Surveillance, has several years of experience working on surveillance in general and key populations, in both domestic and international settings. He will provide high-level technical assistance on surveillance strategy for HIV recency.**

9. Grant Project Schedule, as allowed in approval documents, or as proposed:

<b>Year one project: Start-Date: 08/01/2019</b>	<b>End-Date: 09/29/2019</b>
<b>Year two project: Start-Date: 09/30/2019</b>	<b>End-Date: 09/29/2020</b>
<b>Year three project: Start-Date: 09/30/2020</b>	<b>End-Date: 09/29/2021</b>

10a. Amount budgeted for contractual services: **N/A**

- b. Will contractual services be put out to bid? **No**
- c. If so, will contract services help to further the goals of the Department's Local Business Enterprise (LBE) requirements? **N/A**
- d. Is this likely to be a one-time or ongoing request for contracting out? **N/A**

11a. Does the budget include indirect costs?  Yes  No

b1. If yes, how much? **\$13,383**

b2. How was the amount calculated? **12% of total indirect costs**

c1. If no, why are indirect costs not included?

Not allowed by granting agency

To maximize use of grant funds on direct services

Other (please explain):

c2. If no indirect costs are included, what would have been the indirect costs? **N.A.**

12. Any other significant grant requirements or comments:

**We respectfully request for approval to accept and expend these funds retroactive to August 01, 2019. The Department received the amended subaward agreement on October 09, 2020.**

**This grant does not require an ASO amendment and partially reimburses the Department for one position: one Supervising Physician Specialist (Job Class #2233) at 0.15 FTE during the period of September 30, 2020 through September 29, 2021.**

**Proposal ID: CTR00001517**

**Version ID: V101**

**Department ID: 162646**

**Project ID: 10035529**

**Project Description: HD HIV PD113 2021 UCSF 11580sc**

**Activity ID: 0001**

**\*\*Disability Access Checklist\*\*\*(Department must forward a copy of all completed Grant Information Forms to the Mayor's Office of Disability)**

13. This Grant is intended for activities at (check all that apply):

- |  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Existing Site(s) | <input type="checkbox"/> Existing Structure(s)      | <input type="checkbox"/> Existing Program(s) or Service(s) |
| <input type="checkbox"/> Rehabilitated Site(s)       | <input type="checkbox"/> Rehabilitated Structure(s) | <input type="checkbox"/> New Program(s) or Service(s)      |
| <input type="checkbox"/> New Site(s)                 | <input type="checkbox"/> New Structure(s)           |  |

14. The Departmental ADA Coordinator or the Mayor's Office on Disability have reviewed the proposal and concluded that the project as proposed will be in compliance with the Americans with Disabilities Act and all other Federal, State and local disability rights laws and regulations and will allow the full inclusion of persons with disabilities. These requirements include, but are not limited to:

1. Having staff trained in how to provide reasonable modifications in policies, practices and procedures;
2. Having auxiliary aids and services available in a timely manner in order to ensure communication access;
3. Ensuring that any service areas and related facilities open to the public are architecturally accessible and have been inspected and approved by the DPW Access Compliance Officer or the Mayor's Office on Disability Compliance Officers.

If such access would be technically infeasible, this is described in the comments section below:

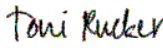
Comments:

Departmental ADA Coordinator or Mayor's Office of Disability Reviewer:

Toni Rucker, PhD  
(Name)

DPH ADA Coordinator  
(Title)

Date Reviewed: 11/25/2020 | 7:00 PM PST

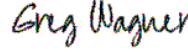
DocuSigned by:  
  
AB4282F7881F41D...  
 (Signature Required)

Department Head or Designee Approval of Grant Information Form:

Dr. Grant Colfax  
(Name)

Director of Health  
(Title)

Date Reviewed: 11/30/2020 | 3:29 PM PST

DocuSigned by:  
  
203273247938487  
 (Signature Required)

Greg wagner, COO for

Research Subaward Agreement  
11408sc  
between  
The Regents of the University of California  
and  
City and County of San Francisco  
CFDA No. 93.067

This Research Subaward Agreement ("Subaward") is executed by and between The Regents of the University of California, on behalf of its San Francisco campus, a corporation of the State of California, (hereinafter "UCSF") and City and County of San Francisco (hereinafter "Subrecipient").

WHEREAS, UCSF is the recipient of Award Number NU2GGH002170 ("Award") from Centers for Disease Control ("CDC" or "Sponsor"), for the conduct of a program entitled "Recent Infection Surveillance Consortium" ("Project") as detailed in the application previously submitted to the Sponsor; and

WHEREAS it is considered in the best interests of the Sponsor and UCSF for Subrecipient to participate in this Project;

NOW, THEREFORE, in consideration of the mutual promises and covenants contained herein, UCSF and Subrecipient agree to a Subaward under this Award.

**Article I – Scope of Work**

Subrecipient shall perform those tasks described in Subrecipient's Scope of Work (Attachment A), which is incorporated herein and made a part of this agreement.

**Article II – Project Management**

**George Rutherford** is designated as UCSF's Principal Investigator, who is responsible for the overall conduct of the Project and is responsible for overall technical monitoring and guidance. Any significant changes in the performance of this Subaward as outlined in Subrecipient's proposal and Scope of Work require authorization by UCSF's Principal Investigator.

**William McFarland** is designated as Subrecipient's Principal Investigator who shall be responsible for the technical and administrative conduct of the Project in accordance with Attachment A. No substitution may be made of Subrecipient's Principal Investigator without prior written approval of UCSF and an amendment to this Subaward.

**Article III – Period of Performance**

The authorized period of performance is from **August 1, 2019** through **September 29, 2019**. The period of performance may be extended only by written amendment to this Subaward. UCSF may issue no-cost extensions to the period of performance unilaterally, except that Subrecipient shall retain the right to decline such an extension by notifying UCSF's Authorized Official within 30 days from receipt of the amendment. Unilateral acceptance of the amendment does not bypass internal approval processes of Subrecipient.

**Article IV – Compensation**

UCSF will reimburse Subrecipient on a cost-reimbursable basis for actual allowable costs in the performance of the work under this Subaward in the amount not to exceed **\$11,535** which is based on the budget incorporated herein and made part of this Subaward as Attachment B. Expenditures shall be in accordance with Attachment B, Sponsor's policies, and



the terms and conditions of this Subaward. This amount shall not be exceeded or carried forward without written authorization of UCSF's Principal Investigator and subsequent formal amendment to this Subaward. None of the funds obligated in this Subaward shall be used to pay the salary of an individual at a rate in excess of Executive Level II.

#### **Article V – Method of Payment**

Subrecipient shall submit monthly invoices in US Dollars to UCSF after incurring allowable costs. All invoices must provide a current and cumulative breakdown of costs by major cost category in accordance with Attachment B. All invoices shall be dated, numbered, and must include this Subaward number, **11408sc**. Invoices submitted without this information may delay payment. Invoices shall include certification that expenditures claimed represent actual allowable costs for committed effort and work performed under this Subaward. Subrecipient invoices shall be sent to the attention of:

University of California, San Francisco Campus (UCSF)  
Supply Chain Management - Accounts Payable  
Attn: Subcontracts Desk  
Box 0812  
1855 Folsom Street, Suite 304  
San Francisco, CA 94143-0812  
Email: [subcontract@ucsf.edu](mailto:subcontract@ucsf.edu)

For questions about invoicing, contact [scmap@ucsf.edu](mailto:scmap@ucsf.edu). UCSF will make provisional payment on all invoices submitted in accordance with the terms of this Subaward. The final invoice marked "FINAL" must be submitted within forty-five (45) days after the final end date of this Subaward.

Unexpended funds, if any, shall be returned to UCSF with the final financial report. The closeout of this Subaward does not affect the right of UCSF or Sponsor to disallow costs and recover funds on the basis of a later audit or other review.

#### **Article VI – Progress and Financial Reporting Requirements**

Subrecipient shall furnish to UCSF any financial, technical, or performance reports and assistance reasonably requested by UCSF's Principal Investigator as required to meet UCSF's obligations under the Award. All reports required under the Award are due to UCSF **thirty (30) days** before the due date specified in the Award. Technical reports should include a summary statement of progress toward the achievement of the originally stated aims, a list of the positive and negative results which are considered to be significant by Subrecipient's Principal Investigator, and a list of any publications resulting from the Project, including planned publication. All such reports shall be submitted to UCSF's Principal Investigator.

#### **Article VII – Audit and Records**

a) Subrecipient shall maintain accurate records of all costs incurred in the performance of this work and agrees to allow representatives of UCSF, Sponsor, and/or the Comptroller General of the United States reasonable access to its records to verify the validity of expenses reimbursed under this Subaward. Subrecipient shall maintain financial records, supporting documents, and other records pertaining to this Subaward for a period of four (4) years from either the termination date of this Subaward, the date of final payment of expenditures, or the receipt of the final financial report of this Subaward, whichever occurs later. Notwithstanding the foregoing sentence, any records pertaining to audit, appeals, litigation, or claims arising out of performance of this Subaward shall be retained until such audits, appeals, litigation, or claims have been disposed of.

b) All research records, including but not limited to original data and primary data-yielding materials, secondarily derived tables and figures, and statistical tabulations and other summaries, pertinent to this Subaward shall be made available to UCSF upon its request and shall be retained by Subrecipient for a period of four (4) years from the termination date of this Subaward, except that records pertaining to any allegation of scientific misconduct or investigation, appeal, administrative

proceeding, or litigation relating to any charge arising out of the scientific performance of this Subaward shall be retained until four (4) years after either the conclusion of the allegation, investigation, appeal, administrative proceeding, or litigation, or the acceptance by UCSF of a final report pertaining thereto, whichever occurs later.

c) If any audit report reflects major shortcomings in Subrecipient's internal control systems, UCSF may impose more stringent prior approval requirements for certain types of expenditures and/or rebudgeting, and may require detailed supporting documentation for all claims for reimbursement until UCSF is satisfied that necessary corrective action has been, or will be taken.

d) UCSF, the Sponsor, the Comptroller General of the United States, and any of their duly authorized representatives shall have access at any reasonable time after prior written notification to pertinent books, documents, papers, and records of Subrecipient in order to make audits, examinations, excerpts, and transcripts. In the event that any payment made to Subrecipient is determined on the basis of such audits to be unallowable, Subrecipient shall promptly refund the unallowable amount to UCSF upon demand.

### **Article VIII – Publicity and Publication**

Neither party will use the name of the other party or its employees in any advertisement, press release, or other publicity without the prior written approval of the other party. Subrecipient understands that California Education Code Section 92000 provides that the name "University of California" is the property of the State of California and that no person shall use that name without the permission of The Regents of the University of California. Such permission may be granted by the Chancellor or his designee. UCSF has the right to acknowledge Subrecipient's participation in and support of the work performed under this Subaward in press releases, scientific publications, and other scientific communications.

Subrecipient shall be able to disclose the identity of the parties, the existence of the agreement, and the nature and scope of the research in accordance with its institutional policies, but will not use Sponsor's name or logo without UCSF obtaining written permission of Sponsor's Director of Communications or equivalent position. The previous sentence notwithstanding, publication of Project results shall acknowledge the Award made to UCSF from Sponsor.

Publications, journal articles, etc. produced under a CDC grant support project must bear an acknowledgment and disclaimer, as appropriate, for example:

“This publication (journal article, etc.) was supported by the Grant or Cooperative Agreement Number, **NU2GGH002170**, funded by the Centers for Disease Control and Prevention. Its contents are solely the responsibility of the authors and do not necessarily represent the official views of the Centers for Disease Control and Prevention or the Department of Health and Human Services.”

When issuing statements, press releases, requests for proposals, bid solicitations, and other documents describing projects or programs funded in whole or in part with Federal money, all awardees receiving federal funds, including and not limited to

State and local governments and grantees of Federal research grants, shall clearly state:

- The percentage of the total costs of the program or project which will be financed with federal money,
- The dollar amount of federal funds for the project or program, and
- The percentage and dollar amount of the total costs of the project or program that will be financed by non-governmental sources

### **Article IX – Intellectual Property**

#### **Copyright:**

Subrecipient may assert copyright ownership on materials that it produces in the performance of the work of this Subaward. Subrecipient shall grant to UCSF a non-transferable, irrevocable, royalty-free, non-exclusive license to use, reproduce, prepare derivative works, perform, display, publish, or otherwise disseminate such copyrighted materials first

developed and delivered under this Subaward for non-commercial research, academic, and educational purposes, and as required to meet any obligations under the Award.

Pursuant to applicable grant regulations and the CDC’s Public Access Policy, Subrecipient agrees to submit into the National Institutes of Health Manuscript Submission System (NIHMS) an electronic version of the final, peer-reviewed manuscript of any such work developed under this award upon acceptance for publication, to be made publicly available no later than twelve (12) months after the official date of publication. Also at the time of submission, Subrecipient and/or the Subrecipient’s submitting author must specify the date the final manuscript will be publicly accessible through PubMed Central (PMC). Subrecipient and/or Subrecipient’s submitting author must also post the manuscript through PMC within twelve (12) months of the publisher's official date of final publication; however, the author is strongly encouraged to make the subject manuscript available as soon as possible. The Subrecipient must obtain prior approval from UCSF for any exception to this provision.

The author's final, peer-reviewed manuscript is defined as the final version accepted for journal publication, and includes all modifications from the publishing peer review process, and all graphics and supplemental material associated with the article. Subrecipient and its submitting authors working under this award are responsible for ensuring that any publishing or copyright agreements concerning submitted articles reserve adequate rights to fully comply with this provision and the license reserved by the CDC. The manuscript will be hosted in both PMC and the CDC Stacks institutional repository system. In progress reports for this award, recipient must identify publications subject to the CDC Public Access Policy by using the applicable NIHMS identification number for up to three (3) months after the publication date and the PubMed Central identification number (PMCID) thereafter.

**Patents and Inventions:**

Subrecipient is subject to applicable regulations governing patents and inventions, including government-wide regulations issued by the Department of Commerce at 37 CFR 401, “Rights to Inventions made by Non-profit Organizations and Small Business Firms Under Government Grants, Contracts and Cooperative Agreements.” Acceptance of Award funds obligates Subrecipient to comply with the standard patent rights clauses at 37 CFR 401.14.

**Article X – Independent Contractor**

Subrecipient and its employees, consultants, agents, or independent contractors will perform all services under this Subaward as independent contractors. Nothing in this Subaward will be deemed to create an employer-employee or principal-agent relationship between UCSF and Subrecipient’s employees, consultants, agents, or independent contractors. Subrecipient and its employees, consultants, agents, and lower tier Subrecipients will not, by virtue of any services provided under this Subaward, be entitled to participate, as an employee or otherwise, in or under any employee benefit plan of UCSF or any other employment right or benefit available to or enjoyed by employees of UCSF.

**Article XI – Indemnification**

Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.

**Article XII – Insurance**

Subrecipient shall maintain at its expense, during the period of this Subaward, insurance or an equivalent form of self-insurance acceptable to UCSF in terms as follows:

a) Commercial Form General Liability (contractual liability included) with limits as follows:

Each Occurrence	\$1,000,000
Products, Completed Operations Aggregate	\$2,000,000
Personal and Advertising Injury	\$1,000,000

General Aggregate

\$2,000,000

- b) If the above insurance is written on a claims-made form, it shall continue for three (3) years following termination of this Subaward. The insurance shall have a retroactive date of placement prior to or coinciding with the effective date of this Subaward.
- c) Business Automobile Liability (Minimum Limits) for owned, scheduled, non-owned, or hired automobiles with combined single limit of not less than \$1,000,000 per occurrence
- d) Workers' Compensation Coverage per statutory limits
- e) The coverages referred to shall include The Regents of the University of California as an additional insured. Such a provision shall apply only in proportion to and to the extent of the negligent acts or omissions of Subrecipient, its officers, employees, and agents. Subrecipient, upon request, shall furnish UCSF with certificates of insurance evidencing compliance with all requirements. Certificates shall further provide for thirty (30) days (10 days for non-payment of premium) advance written notice to UCSF of any material modification, change, or cancellation of the above insurance coverages.

### **Article XIII – Suspension/Termination**

In the event Sponsor suspends or terminates its award to UCSF, UCSF shall suspend or terminate this Subaward. Notification of suspension or termination by UCSF shall be provided to Subrecipient in writing as soon as practicable and shall state the effective date of such action.

Either party may terminate this Subaward upon thirty (30) days advance written notice to the other party. In the event of such termination, Subrecipient shall take all reasonable steps to minimize further costs, and shall be entitled to reimbursement for allowable costs and non-cancellable obligations incurred prior to the effective date of termination, except that in no event shall such reimbursement exceed the amount set forth in Article IV (Compensation). Unless otherwise agreed to by the parties, within thirty (30) days after the final end date, Subrecipient shall submit a final invoice to UCSF. The balance owed to Subrecipient will be paid contingent upon receipt of all final reports. The preceding sentence notwithstanding, UCSF will be unable to reimburse any expenses under suspension or termination unless and until Sponsor reimburses UCSF for such costs.

In the event of early termination, Subrecipient agrees to deliver such information and items which are either completed prior to the effective date of termination, or which Subrecipient can reasonably be expected to prepare and furnish to UCSF per the approved Scope of Work and the terms of this Subaward.

### **Article XIV – Notices**

Notices required or permitted under this Subaward shall be directed to the Administrative Contact listed in Attachment E.

### **Article XV – Award Terms and Conditions**

- a) Unless sections specifically exclude subrecipients from coverage, Subrecipient is subject to and shall comply with the following terms and conditions, which are incorporated herein or by reference and made a part of this Subaward:
  - 1) 2 CFR 200, "Uniform Administrative Requirements, Cost Principles, and Audit Requirements for Federal Awards";
  - 2) 45 CFR 75, "Uniform Administrative Requirements, Costs Principles, and Audit Requirements for Health and Human Services (HHS) Awards";
  - 3) The HHS Grants Policy Statement, including addenda in effect as of the beginning date of the budget period;

- 4) The Notice of Award;
- 5) Restrictions on the expenditure of federal funds by Congressional appropriations acts (to the extent those restrictions are pertinent to the award);

It is intended that the referenced provisions shall apply to Subrecipient in such manner as is necessary to reflect its position in relation to UCSF, to ensure its obligations to UCSF and to the United States Government, and to enable UCSF to meet its obligations under the Award.

b) In the event of a conflict between the Award and this Subaward, the terms and conditions of this Subaward shall govern.

**Article XVI – Financial Conflict of Interest**

The financial conflicts of interest policy of Subrecipient Institution will apply. By execution of this Subaward Agreement, Subrecipient Institution certifies that its policy complies with 42 CFR 50.

Subrecipient shall report any financial conflict of interest to UCSF’s COI Representative by emailing coiac@ucsf.edu. Any financial conflicts of interest identified shall subsequently be reported to Sponsor. Such report shall be made before the expenditure of funds authorized in this Subaward Agreement and within 45 days of any subsequently identified financial conflict of interest.

**Article XVII – Assurances/Certifications**

By signing the Subaward Agreement, the authorized official of Subrecipient makes, to the best of his/her knowledge and belief, the Representations and Certifications in Attachment D.

**Article XVIII – Governing Law**

This Subaward is governed by the laws of the State of California.

**Article XIX – Entire Subaward**

This Subaward, including its attachments, states the entire agreement between the parties with respect to the subject matter of this Subaward and supersedes any previous or contemporaneous written or oral representations, statements, negotiations, or Subawards. Subrecipient acknowledges that it has not been induced to enter into this Subaward by any oral or written statements or representations not expressly provided in this Subaward.

- Attachment A – Subrecipient Scope of Work
- Attachment B – Subrecipient Budget
- Attachment C – Award
- Attachment D – Representations and Certifications
- Attachment E – Contacts

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

FOR: The Regents of the University of California  
*Lynette Simon-Moret*  
 Lynette Simon-Moret  
 Subcontract Officer, RMS  
 Date:

7/31/2019

FOR: City and County of San Francisco  
 Tomas Aragon, Director of Population Health Division  
 DocuSigned by:  
*Tomas Aragon*  
 Date: 30/7/2019 | 5:21 PM PDT  
 0BDB2B95DBC0442...

ATTACHMENT A  
**SFDPH Subcontract**  
**Scope of Work**

1. **Name of Contractor:** San Francisco Department of Public Health (SFDPH)
  
2. **Award Budget Period:** 08/1/2019 – 9/29/2019
  
3. **Subcontract Performance Period:** 8/1/2019 – 9/29/2019
  
4. **Scope of Work:** In close collaboration with UCSF, SFDPH will provide technical assistance and capacity building for rollout of HIV recency in multiple countries, which may include, Kenya, Malawi, Namibia, Uganda, and Thailand/Laos. SFDPH will also provide support for the evaluation of HIV recency activities.

## ATTACHMENT B

**San Francisco Department of Public Health Subcontract**  
**Award Budget Period: 11/1/2018-9/29/2019**  
**Subcontract Performance Period: 4/1/2019-9/29/2019**  
**Budget Name: Recency Revised Budget**

**A. Salaries and Wages**

<b>Personnel</b>	<b>Position Title</b>	<b>Current Salary</b>	<b>% effort</b>	<b># mos.</b>	<b>(A) Salary</b>	<b>(B) Benefits</b>	<b>Total</b>
McFarland, Willi	Director of Surveillance	\$189,600	25%	2	\$7,900	\$2,399	\$10,299
							\$0
<b>Total Personnel</b>			25%		\$7,900	\$2,399	\$10,299

<b>Total Direct Costs</b>	\$10,299
Overhead at 12%	<u>\$1,236</u>
<b>Grand Total</b>	<b>\$11,535</b>

**SFDPH Subcontract**

***Budget Justification:***

**Personnel:**

**Willi, McFarland, *Director of Surveillance***, has several years of experience working on surveillance in general and key populations, in both domestic and international settings. He will provide high-level technical assistance on surveillance strategy for HIV recency. We request 25% (\$7,900) salary support for this position for 2 months.

**Subaward Fringe Benefit and Indirect Cost Rates:**

The fringe benefit rate is calculated as 30.37% of Willi McFarland' salary (\$2,399). The indirect cost rate is 12% of total direct expenses (\$1,236).



<b>1. DATE ISSUED</b> MM/DD/YYYY 11/19/2018		<b>1a. SUPERSEDES AWARD NOTICE</b> dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	
<b>2. CFDA NO.</b> 93.067 - Global AIDS			
<b>3. ASSISTANCE TYPE</b> Cooperative Agreement			
<b>4. GRANT NO.</b> 1 NU2GGH002170-01-00 Formerly		<b>5. TYPE OF AWARD</b> Service	
<b>4a. FAIN</b> NU2GGH002170		<b>5a. ACTION TYPE</b> New	
<b>6. PROJECT PERIOD</b> MM/DD/YYYY From 11/01/2018		<b>Through</b> MM/DD/YYYY 09/29/2023	
<b>7. BUDGET PERIOD</b> MM/DD/YYYY From 11/01/2018		<b>Through</b> MM/DD/YYYY 09/29/2019	
<b>8. TITLE OF PROJECT (OR PROGRAM)</b> Recent Infection Surveillance Consortium			

**DEPARTMENT OF HEALTH AND HUMAN SERVICES  
Centers for Disease Control and Prevention  
CDC Office of Financial Resources**

1600 Clifton Road  
Atlanta, GA 30329

**NOTICE OF AWARD**  
AUTHORIZATION (Legislation/Regulations)  
301(A)&307PHA42USC241&242&104 22USC151B

<b>9a. GRANTEE NAME AND ADDRESS</b> Regents of the University of California, San Francisco, The 3333 California St -DUP2 San Francisco, CA 94118-1981	<b>9b. GRANTEE PROJECT DIRECTOR</b> Dr. George1147948 Rutherford 3333 California Street San Francisco, CA 94118 Phone: +1 415 476-5781
<b>10a. GRANTEE AUTHORIZING OFFICIAL</b> Dr. George1147948 Rutherford 3333 California Street San Francisco, CA 94118 Phone: +1 415 476-5781	<b>10b. FEDERAL PROJECT OFFICER</b> Emily Morris 12 Corporate Boulevard, NE Atlanta, GA 30329 Phone: 404.718.8292

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET</b> (Excludes Direct Assistance)		<b>12. AWARD COMPUTATION</b>	
I Financial Assistance from the Federal Awarding Agency Only		a. Amount of Federal Financial Assistance (from item 11m) 3,654,000.00	
II Total project costs including grant funds and all other financial participation <input type="checkbox"/>		b. Less Unobligated Balance From Prior Budget Periods 0.00	
a. Salaries and WageS 830,749.00		c. Less Cumulative Prior Award(s) This Budget Period 0.00	
b. Fringe Benefits 348,716.00		<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b> 3,654,000.00	
c. Total Personnel Costs 1,179,465.00		<b>13. Total Federal Funds Awarded to Date for Project Period</b> 3,654,000.00	
d. Equipment 121,952.00		<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):	
e. Supplies 911,395.00		YEAR	TOTAL DIRECT COSTS
f. Travel 106,760.00		a. 2	d. 5
g. Construction 0.00		b. 3	e. 6
h. Other 202,136.00		c. 4	f. 7
i. Contractual 383,404.00		<b>15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:</b>	
j. TOTAL DIRECT COSTS → 2,905,112.00		a. DEDUCTION	
k. INDIRECT COSTS 748,888.00		b. ADDITIONAL COSTS	
<b>l. TOTAL APPROVED BUDGET</b> 3,654,000.00		c. MATCHING	
m. Federal Share 3,654,000.00		d. OTHER RESEARCH (Add / Deduct Option)	
n. Non-Federal Share 0.00		e. OTHER (See REMARKS)	
<b>REMARKS</b> (Other Terms and Conditions Attached - <input checked="" type="checkbox"/> Yes <input type="checkbox"/> No)		<b>16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY ON THE ABOVE TITLED PROJECT AND IS SUBJECT TO THE TERMS AND CONDITIONS INCORPORATED EITHER DIRECTLY OR BY REFERENCE IN THE FOLLOWING:</b>	
		a. The grant program legislation	
		b. The grant program regulations.	
		c. This award notice including terms and conditions, if any, noted below under REMARKS.	
		d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.	
		In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.	

**GRANTS MANAGEMENT OFFICIAL:**

Mattie B Jackson  
1600 Clifton Rd  
Atlanta, GA 30333  
Phone: 770-488-2696

<b>17.OBJ CLASS</b> 41.51	<b>18a. VENDOR CODE</b> 1946036493A6	<b>18b. EIN</b> 946036493	<b>19. DUNS</b> 094878337	<b>20. CONG. DIST.</b> 12
<b>FY-ACCOUNT NO.</b>	<b>DOCUMENT NO.</b>	<b>ADMINISTRATIVE CODE</b>	<b>AMT ACTION FIN ASST</b>	<b>APPROPRIATION</b>
21. a. 9-9390BJD	b. 19NU2GGH002170	c. GH	d. \$3,654,000.00	e. 75-19-1822-1031-001
22. a.	b.	c.	d.	e.
23. a.	b.	c.	d.	e.

## NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2

DATE ISSUED  
11/19/2018

GRANT NO. 1 NU2GGH002170-01-00

**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
<b>Total</b>	\$0.00	\$0.00	\$0.00

## AWARD ATTACHMENTS

Regents Of The University Of California, San Francisco, The

1 NU2GGH002170-01-00

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1. Terms
2. TR

<b>AWARD INFORMATION</b>
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**Incorporation:** In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Non-research awards at <https://www.cdc.gov/grants/federalregulationspolicies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number GH19-1942, entitled **Public Health Surveillance of Recent HIV Infection and Response under the President's Emergency Plan for AIDS Relief (PEPFAR)**, and application dated August 20, 2018, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

**Approved Funding:** Funding in the amount of \$10,000,000 is approved for the Year 1 budget period, which is November 1, 2018 through September 29, 2019. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

The federal award amount is subject to adjustment based on total allowable costs incurred and/or the value of any third party in-kind contribution when applicable.

Note: Refer to the Payment Information section for Payment Management System (PMS) subaccount information.

**Component/Project Funding:** The NOFO provides for the funding of multiple components under this award. The approved component funding levels for this notice of award are:

	A Funded	B – Approved but unfunded	C - Approved but unfunded	D - Approved but unfunded	E - Approved but unfunded	F - Approved but unfunded	G - Approved but unfunded
Salary and Wages	\$830,749	\$49,733	\$482,779	\$241,389	\$241,389	\$67,937	\$346,909
Fringe Benefits	\$348,716	\$22,369	\$202,653	\$101,326	\$101,326	\$28,515	\$145,623
Travel	\$106,760	\$6,849	\$62,043	\$31,021	\$31,021	\$8,730	\$44,583
Equipment	\$121,952	\$7,823	\$70,873	\$35,436	\$35,436	\$9,972	\$50,928
Supplies	\$911,395	\$6,060	\$538,163	\$269,081	\$269,081	\$75,726	\$386,711
Contractual	\$383,404	\$24,595	\$222,812	\$111,409	\$111,409	\$31,352	\$160,101
Construction	\$0	\$0				\$0	\$0
Other	\$202,136	\$16,529	\$117,470	\$58,734	\$58,734	\$16,529	\$152,416
Consultants		\$0				\$0	\$0
<b>Total Direct Charges</b>	<b>\$2,905,112</b>	<b>\$133,958</b>	<b>\$1,696,793</b>	<b>\$848,396</b>	<b>\$848,396</b>	<b>\$238,761</b>	<b>\$1,287,271</b>
Indirect Costs	\$748,888	\$48,041	\$435,208	\$217,604	\$217,604	\$61,239	\$312,729
<b>Grand Totals</b>	<b>\$3,654,000</b>	<b>\$181,999</b>	<b>\$2,132,001</b>	<b>\$1,066,000</b>	<b>\$1,066,000</b>	<b>\$300,000</b>	<b>\$1,600,000</b>

**Available Funding:** The CDC approves the use of component funding. Funding in the amount of **\$3,654,000.00** in Financial Assistance (FA) is awarded on this NoA for Component A. The remainder of the budget period Approved Funding amount is subject to the availability of funds.

**Financial Assistance Mechanism:** Cooperative Agreement

**Substantial Involvement by CDC:** This is a cooperative agreement and CDC will have substantial programmatic involvement after the award is made. Substantial involvement is in addition to all post-award monitoring, technical assistance, and performance reviews undertaken in the normal course of stewardship of federal funds.

CDC program staff will assist, coordinate, or participate in carrying out effort under the award, and recipients agree to the responsibilities therein, as detailed in the NOFO.

**Objective/Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the CDC Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, December 15, 2018, will cause delay in programmatic progress and will adversely affect the future funding of this project.

**Budget Revision Requirement:** By December 15, 2018 the recipient must submit a revised budget with a narrative justification. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the CDC Staff Contacts section of this notice before the due date.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.

**FUNDING RESTRICTIONS AND LIMITATIONS**

**Notice of Funding Opportunity (NOFO) Restrictions:** GH19-1942

In addition to service provision, this application includes support for potential data collection from persons, personal records, or for laboratory specimen collection and testing that may result in public dissemination. Of the total approved budget \$1,000,000, shall be restricted until protocols describing the activities below have been submitted to CDC DGHT-Atlanta for scientific/technical review and review of institutional human subjects protection considerations.

A. Restriction ID Number: **HQ-19-002170-01**

Restricted Activity: Objective 2: Data Analysis and use: Establish the on-going analysis and use of HIV recency data to track the current epidemic, target interventions, and inform the planning of prevention programs

Page(s): 9 (narrative)

Restriction Amount: \$250,000

Cost Category: Other Direct Costs

B. Restriction ID Number: **HQ-19-002170-02**

Restricted Activity: Objective 2: Data Analysis and use: Establish the on-going analysis and use of HIV recency data to track the current epidemic target interventions, and inform the planning of prevention programs  
Page(s): 9 (narrative)  
Restriction Amount: \$250,000  
Cost Category: Indirect Costs

C. Restriction ID Number: **HQ-19-002170-03**

Restricted Activity: Objective 3: HHS: Develop HIS to support recent HIV infection surveillance  
Page(s): 11 (narrative)  
Restriction Amount: \$250,000  
Cost Category: Other Direct Costs

D. Restriction ID Number: **HQ-19-002170-04**

Restricted Activity: Objective 3: HHS: Develop HIS to support recent HIV infection surveillance  
Page(s): 11 (narrative)  
Restriction Amount: \$250,000  
Cost Category: Indirect Costs

All funding restrictions placed on potential data collection activities involving human subjects must be resolved no later than the end of this budget year. Data collection protocols required to release funding restrictions placed on potential data collection activities involving human subjects must be submitted to the DGHT Science Integrity Branch for review within 6 months of receiving the Notice of Award. Exceptions to these deadlines will need to be submitted in writing to the Office of Financial Resources (OFR) Grants Management Officer. If any of the restricted activities have received local IRB approval, an IRB-exempt determination, or an institutional non-research determination please submit the approval documentation with the protocol to the **HQ** CDC DGHT Office.

When all necessary CDC approvals have been obtained for a restricted activity, please submit a copy of the approval(s) along with a release of Human Subjects Data Collection Restriction Release Request Form to your OFR Grants Management Specialist via email.

Note 1: If funds for preparatory activities (e.g., protocol development, training, equipment, reagents, and site preparation) were not included in the application, these funds may be provided prior to protocol approval. To request funds for preparatory activities please submit a narrative describing the activities along with a release of Human Subjects Data Collection Restriction Release Request Form to your OFR Grants Management Specialist via email.

Note 2: If the restricted activity is a part of routine clinic or program operations, or laboratory quality assurance that will not result in public dissemination, please submit a narrative justification along with a release of Human Subjects Data Collection Restriction Release Request Form and country approval to your OFR Grants Management Specialist via email. Protocol approval is not required for these activities.

Note 3: Restricted funds shall not be withdrawn until approval is received and the restrictions have been lifted by an amended notice of award. Conducting any restricted activities without receiving CDC approval will result in enforcement action, which may require repayment of expended funds.

To obtain the Human Subjects Data Collection Restriction Release Request Form, or for more information on releasing human subjects data collection restrictions, contact the **HQ CDC DGHT Office**.

**Administrative Restriction:** \$121,952.00 in equipment. Please submit at least two quotes for items over \$5,000.

**Indirect Costs:**

Indirect costs are approved based on the negotiated indirect cost rate agreement dated October 6, 2017, which calculates indirect costs as follows, a Provisional is approved at a rate of 26% of the base, which includes,

Modified total direct costs, consisting of all direct salaries and wages, applicable fringe benefits, materials and supplies, services, travel and up to the first \$25,000 of each subaward (regardless of the period of performance of the subawards under the award). Modified total direct costs shall exclude equipment, capital expenditures, charges for patient care, rental costs, tuition remission, scholarships and fellowships, participant support costs and the portion of each subaward in excess of \$25,000. Other items may only be excluded when necessary to avoid a serious inequity in the distribution of indirect costs, and with the approval of the cognizant agency for indirect costs.

The effective dates of this indirect cost rate are from July 1, 2018 to Until.

**Foreign Taxes:** Pursuant to applicable grant regulations, foreign taxes charged for the purchase of goods or services that a non-federal entity is legally required to pay in country are an allowable expense under federal awards. For purposes of this term, foreign taxes include value-added taxes (VAT), customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in the funding agreement, which may include the purchase, import, use or re-export of goods or services.

The determination of whether such foreign taxes are an allowable expense will depend on whether an exemption or effective reimbursement mechanism exists in country. Effective reimbursement is defined as a reimbursement mechanism that provides for no less than substantial reimbursement of USG funds. Generally such exemptions or rights to reimbursement are set forth in bilateral or other legal agreements between the United States Government (USG) and the host country.

1. **Countries where an exemption or right to reimbursement exists:**

In countries where a bilateral or other legal agreement sets forth an exemption, the recipient must take advantage of the exemption and may not pay taxes with award funds. If, however, the host country implements the exemption through a reimbursement mechanism, the recipient may pay the taxes with award funds but must request and receive the reimbursement, as those expenses are deemed an unallowable expense under the award. If the reimbursement mechanism is used, recipients should consult with the CDC project officer and the CDC grants management specialist to determine how the reimbursed funds should be handled. If reimbursement is requested but not received from the host country despite significant effort, so long as recipient provides sufficient documentation showing efforts to seek reimbursement to the CDC grants management specialist, the foreign tax payment will be an allowable expense.

2. **Countries where no exemption and/or no right to reimbursement exist:**

In countries where a) there is no bilateral or other legal agreement in force setting forth either an exemption or a right to reimbursement, b) a bilateral or other legal agreement is in force but does not provide for an exemption or a right to reimbursement, the recipient may pay foreign taxes with award funds. Such payments would be deemed allowable expenses.

3. **Countries where a specific bilateral agreement between the US and the ost country (e.g., 1951 Bilateral Agreement between the US and the UK applicable to former UK territories; 1989 bilateral between the US and Swaziland) applies (Bahamas, India, Kenya, Suriname, Swaziland, Trinidad and Tobago, and Zambia):**

Consistent with the bilateral agreement, this Notice of Grant Award represents the implementing agreement required by the bilateral agreement for tax purposes. Pursuant to the specific bilateral agreement in force, the host country has agreed that USG funds (e.g., HHS/CDC funds, PEPFAR funds) provided to and utilized by recipient, as it carries out the program activities and objectives set forth in this implementing agreement, shall be free from taxes imposed under laws in effect in the host country. These tax exemptions on USG funds include, but are not limited to, the following:

a. Taxes, customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in this agreement, which may include the purchase, import, use or re-export of goods or services, including value-added taxes (VAT). Goods include, but are not limited to, commodities, equipment and supplies, including automobiles, which have been imported for the purpose of the funded program activities and objectives.

b. Taxes of a non-Resident organization on income allowed by HHS/CDC to be derived from HHS/CDC funding of program activities and objectives set forth in this agreement.

c. Taxation on personal income paid from HHS/CDC funds to employees of Recipient who pay taxes on their income to the United States Government; and

d. Should any conflict or disagreement about the above exemptions arise, Recipient agrees to promptly notify CDC (project officer or grants management officer) to work to resolve such matters, guided by the principle that the funding furnished by HHS/CDC is free from taxation.

**Prostitution and Sex Trafficking (Items 1 through 6):**

1. Consistent with Section 7631(e) of the U.S. Leadership Against HIV/AIDS, Tuberculosis, and Malaria Act of 2003, 22 USC §§ 7601 et seq. ("the Leadership Act"), the U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.
2. Additionally, consistent with Section 7631(f) of the Leadership Act, a prime recipient that is a non-U.S. nongovernmental organization acknowledges that, by accepting this award, it agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.



3. Contractors and subcontractors are exempt from the above requirements if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.
4. Notwithstanding the contract exemption above, not exempt from these provisions are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:
  - i. Providing supplies or services directly to the final populations receiving such supplies or services in host countries;
  - ii. Providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
  - iii. Providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).
5. Subrecipients
  - i. Prime recipient shall insert the following provision in subawards or subcontracts: "None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides."
  - ii. Prime recipients shall insert the following provision in subawards or subcontracts subject to Section 7631(f) (i.e., those to non-U.S. nongovernmental organizations): "By accepting this award, the subawardee/ subcontractor agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children."
6. The following definitions apply for purposes of the above provisions:
  - i. "Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.
  - ii. "Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.
  - iii. "Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by (HHS OPDIV) prior to the end of its term.

Any enforcement of this provision is subject to courts' orders in *Alliance for Open Society International v. USAID* (See, e.g., S.D.N.Y. 05 Civ. 8209, Orders filed on January 30, 2015 and June 6, 2017, granting permanent injunction).

**Additional Requirement (AR)-35, 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/additionalrequirements/ar-35.html>

#### REPORTING REQUIREMENTS

**Performance Progress and Monitoring:** Performance information collection initiated under this grant/cooperative agreement has been approved by the Office of Management and Budget under **OMB Number 0920-1132, “Performance Progress and Monitoring Report”, (or Expiration Date 8/31/2019.** The components of the PPMR are available for download at: <https://www.cdc.gov/grants/alreadyhavegrant/Reporting.html> .

**Prevention Fund Recipient Reporting Rescission:** Effective May 31, 2018, CDC grant award recipients that complete projects or activities which are funded under the Prevention and Public Health Fund (PPHF) (Section 4002 of Public Law 111-148) are no longer required to report separately on their use of PPHF funds, or distinguish sub-recipients use of PPHF funds. The rescission of PPHF reporting requirements does not alter or change administrative, programmatic, financial, or other reporting requirements indicated in a Notice of Award.

**Reporting of Foreign Taxes:** The U.S. Department of State requires that agencies collect and report information on the amount of taxes assessed, reimbursed and not reimbursed by a foreign government against commodities financed with funds appropriated by the U.S. Department of State, Foreign Operations and Related Programs Appropriations Act (SFOAA) of 2011 (United States foreign assistance funds). Outlined below are the specifics of this requirement:

- a. Annual Report. The recipient must submit a report on or before November 16 for each foreign country on the amount of foreign taxes charged, as of September 30 of the same year, by a foreign government on commodity purchase transactions valued at 500 USD or more financed with United States foreign assistance funds under this grant during the prior United States fiscal year (October 1 - September 30), and the amount reimbursed and unreimbursed by the foreign government. [Reports are required even if the recipient did not pay any taxes during the reporting period.]
- b. Quarterly Report. The recipient must quarterly submit a report on the amount of foreign taxes charged by a foreign government on commodity purchase transactions valued at 500 USD or more financed with United States foreign assistance funds under this grant. This report shall be submitted no later than two weeks following the end of each quarter: April 15, July 15, October 15 and January 15.
- c. Terms: For purposes of this clause:
  - i. Commodity means any material, article, supplies, goods, or equipment;
  - ii. Foreign government includes any foreign government entity;
  - iii. Foreign taxes means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

- d. Where: Submit the reports to the Director and Deputy Director of the CDC office in the country(ies) in which you are carrying out the activities associated with this cooperative agreement. In countries where there is no CDC office, send reports to [VATreporting@cdc.gov](mailto:VATreporting@cdc.gov).
- e. Contents of Reports. The reports must contain:
  - i. recipient name;
  - ii. contact name with phone, fax, and e-mail;
  - iii. agreement number(s) if reporting by agreement(s);
  - iv. reporting period;
  - v. amount of foreign taxes assessed by each foreign government;
  - vi. amount of any foreign taxes reimburse by each foreign government;
  - vii. amount of foreign taxes unreimbursed by each foreign government.
- f. Sub-agreements. The recipient must include this reporting requirement in all applicable subgrants and other sub-agreements.

**Required Disclosures for Federal Awardee Performance and Integrity Information System**

**(FAPIIS):** Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the CDC, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the CDC and to the HHS OIG at the following addresses:

CDC, Office of Grants Services  
Mattie Jackson , Grants Management Officer  
Centers for Disease Control and Prevention  
Email: [mij3@cdc.gov](mailto:mij3@cdc.gov) (Include "Mandatory Grant Disclosures" in subject line)

AND

U.S. Department of Health and Human Services  
Office of the Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW  
Cohen Building, Room 5527  
Washington, DC 20201

Fax: (202)-205-0604 (Include "Mandatory Grant Disclosures" in subject line) or  
Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Recipients must include this mandatory disclosure requirement in all subawards and contracts under this award.

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371. Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 and 376, and 31 U.S.C. 3321).

CDC is required to report any termination of a federal award prior to the end of the period of performance due to material failure to comply with the terms and conditions of this award in the OMB-designated integrity and performance system accessible through SAM (currently FAPIIS). (45 CFR 75.372(b)) CDC must also notify the recipient if the federal award is terminated for failure to comply with the federal statutes, regulations, or terms and conditions of the federal award. (45 CFR 75.373(b))

#### PROGRAM OR FUNDING GENERAL REQUIREMENTS

**PEPFAR Branding:** All PEPFAR-funded programs or activities must adhere to PEPFAR branding guidance, which includes guidance on the use of the PEPFAR logo and/or written attribution to PEPFAR. PEPFAR branding guidance can be found at <http://www.pepfar.gov/reports/guidance/branding/index.htm>

#### PAYMENT INFORMATION

*The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to [hhstips@oig.hhs.gov](mailto:hhstips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.*

**Payment Management System Subaccount:** Funds awarded in support of approved activities have been obligated in a newly established 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. All award funds must be tracked and reported separately.

The grant document number identified on the bottom of Page 1 of the Notice of Award must be known in order to draw down funds.

**19NU2GGH002170**

**Exchange Rate:** All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC may not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

#### CDC Staff Contacts

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards.

**GMS Contact:**

Rachael Georgetown, Grants Management Specialist  
Centers for Disease Control  
Email: [vdy8@cdc.gov](mailto:vdy8@cdc.gov)

**Program/Project Officer:** The PO is the federal official responsible for monitoring the programmatic, scientific, and/or technical aspects of grants and cooperative agreements, as

ATTACHMENT E

Research Subaward Agreement  
Pass-Through Entity (PTE) Contacts

Subaward Number:

11408sc

**PTE Information**

Entity Name:

Legal Address:

Website:

**PTE Contacts**

Central Email:

Principal Investigator Name:

Email:  Telephone Number:

Administrative Contact Name:

Email:  Telephone Number:

COI Contact email (if different to above):

Financial Contact Name:

Email:  Telephone Number:

Email invoices?  Yes  No Invoice email (if different):

Authorized Official Name:

Email:  Telephone Number:

**PI Address:**

**Administrative Address:**

**Invoice Address:**

**Subrecipient Contacts**

Subaward Number:

11408sc

**Subrecipient Information for FFATA reporting**

Entity's DUNS Name:

EIN No.:  Institution Type:

DUNS:  Currently registered in SAM.gov:  Yes  No  
Exempt from reporting executive compensation:  Yes  No *(if no, complete 3Bpg2)*

Parent DUNS:  *This section for U.S. Entities:* Zip Code [Look-up](#)

Place of Performance Address Congressional District:  Zip Code+4:

**Subrecipient Contacts**

Central Email:

Website:

Principal Investigator Name:

Email:  Telephone Number:

Administrative Contact Name:

Email:  Telephone Number:

Financial Contact Name:

Email:  Telephone Number:

Invoice/Payment Email:

Authorized Official Name:

Email:  Telephone Number:

**Legal Address:**

**Administrative Address:**

**Payment Address:**

**Highest Compensated Officers**

Subaward Number:  
11408sc

**Subrecipient:**

Institution Name:

PI Name:

**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:

well as contributing to the effort of the award under cooperative agreements.

**Programmatic Contact:**

Emily Stong, Project Officer  
Centers for Disease Control  
Email: wrs8@cdc.gov

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards. The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

Mattie Jackson , Grants Management Officer  
Centers for Disease Control  
Email: mij3@cdc.gov





## FY19 New Award Field Office Memo

**To:** Center for Global Health, Office of the Director, Division of Global HIV and Tuberculosis, Program Budget and Extramural Management Branch (PBEMB)

**From:** DGHT ESB and ILB

**Date:** 10/12/2018

**Re:** Notice of Funding Opportunity GH19-1942, *Public Health Surveillance of Recent HIV Infection and Response under the President's Emergency Plan for AIDS Relief (PEPFAR)*

The purpose of this memorandum is to provide feedback on the proposal submitted by *The Regents of the University of California, San Francisco* in response to Notice of Funding Opportunity GH19-1942.

The DGHT ESB & ILB teams have reviewed the Summary Statements from the Objective Review Panel and the proposal from *The Regents of the University of California, San Francisco*.

ESB & ILB provides the following information on this application:

**Are there any special conditions for the award, including budgetary restrictions?**  Yes  No  
If yes, please indicate conditions or restrictions in the budgetary and/or recommendations section below.

**Is a response to weaknesses by the recipient required to be in the Notice of Award?**  Yes  No

**Are there potential human subject research activities?**  Yes  No  
If yes, please indicate conditions or restrictions in the budgetary and/or recommendations section below.

**Is this award categorically excluded from the environmental health impact study requirement based on the health designation of the activities?**  Yes  No  
If no, contact your PBEMB Extramural Specialist for further direction.

### **Brief Summary of Application based on ORP Summary Statement**

Include only those comments from the ORP that are relevant to the award.

#### **Strengths of Application:**

*(Please use bullets and reference your comments with page numbers)*

- The applicant has registered offices in Namibia, Kenya, Tanzania, and Uganda and works through local partners in Zambia, Zimbabwe, Malawi, Rwanda, Haiti, and Ethiopia (p 3).
- The applicant has prior experience implementing recent infection surveillance among pregnant adolescent girls and young women undergoing routine antenatal care HIV testing services (Malawi, p 9).
- The applicant describes experience supporting the management of a real time data system for reporting recency infections and factors associated with recent infection (p 9).
- The applicant proposes weekly data review by in-country teams, with outliers flagged for follow up and quality improvement (QI) action (p 8).



- The applicant plans to use visualization platforms to allow real time view of data (p 10, 12).
- The applicant plans an innovative south-to-south strategy that would include capacity building activities in laboratory and HIS, such as collaborative learning platforms, through the development of 14 hubs (p 6).
- The applicant plans to strengthen capacity of host countries to use high-quality surveillance data at all levels of the health system (p 9).
- The applicant proposes adapting hands-on curricula to focus on using HIV recent infection surveillance data to target interventions through its consortium of partners (p 9).
- The applicant plans to develop HIS to support recent HIV infection surveillance (p 11) by:
  - Assessing national HIV enterprise architectures, strategies, policies, systems and other artifacts for their ability to support HIV Recency surveillance;
  - Adopting, adapting, and implementing sustainable open-source HIS to capture and transmit recent infection data from site-level to central data repository by index Recency status with functionality for automated processing, transmission, analysis and, at a minimum, monthly reporting to stakeholders;
  - Enhancing data linkage to other linked client-level data systems (e.g., national data repositories, EMRs, laboratory information systems, and CBS);
  - Enhancing reporting systems to enable automated reporting from the source data systems and generate automated data analytics for event detection; and
  - Providing education and training activities a train-the-trainer model with the intent of building capacity

**Weaknesses of Application (if response is required specify action to be taken by recipient):**

*(Please use bullets and reference your comments with page numbers)*

- The applicant seems to have limited experience in implementing laboratory services, including test registration, laboratory commodities procurement, and CQI activities for testing.
- The applicant describes a robust HIS plan but does not appear to have substantial experience in linked HIS development, implementation, and maintenance.
- While the applicant describes an exit strategy for this project, the application lacks a sufficient description of previous success handing over programs to in-country management at the end of a project period.
- Please revise scope of work to fit new focus of activities for Year 1 (see below).

**Recommended Actions for Weaknesses of Application:**

*(Please use bullets in corresponding order of bullets listed above)*

The majority of participating countries will implement recent infection surveillance in routine HIV services in Year 1 through existing COP 2018 implementing partners (IPs). As such, please revise Year 1's budget and scope of work to focus on providing high-quality technical assistance (TA) to DGHT country teams and their IPs to ensure high quality testing, data collection, data management, routine data analysis, and rapid data use from the surveillance system. Because CDC headquarters and COP 2018 IPs for the recent infection surveillance project are also expected to provide TA for this activity, UCSF's TA plan should complement existing CDC Headquarter and IP TA plans for maximum impact.



UCSF's TA assignments will cover broad areas of training, implementation, health information systems support, data analysis, and data use and may vary based on the immediate needs of countries. Specific activities may include support on improving testing capacity, test kit procurement, test registration, supply chain, specimen referral (where applicable), and continuous quality improvement for testing and laboratory activities; improvement of health information systems and health information exchange platforms supporting recent infection surveillance; development of or improvements in data use systems for real-time data review, monitoring, and visualization. Importantly, a primary objective of UCSF TA will be to build sustainable capacity of host-country governments and local organizations to independently implement, monitor, and routinely use data from the surveillance system for immediate public health action and improved programming.

In launching Year 1 activities, a kick-off meeting will be planned with CDC Atlanta to train UCSF and consortia staff on existing tools and resources for the surveillance system. It is expected that Year 1 activities will include revision of standard guidance and templates based on lessons learned from country experiences, to improve the overall surveillance system and fine-tune specific technical areas (laboratory, testing, HIS, data analysis and use). To facilitate continuous learning and transfer of best practices within and across participating countries, UCSF should plan to develop innovative platforms of learning beginning in Year 1 of the award.

TA to the participating countries will require close coordination across the two Awardees. Allocation of TA assignments may vary across and within countries based on the Awardees' technical strengths and COP 2018 IP for the activity. At this time, initial country TA assignments for UCSF are: Haiti, Kenya, Malawi, Namibia, Rwanda and Uganda. This allocation is based on participating countries where UCSF is named as CDC local IP for the activity, prior country experience in recent infection surveillance, and existence of registered country offices. Note that these country assignments may be subject to modification based on CDC headquarter needs, country needs, and demonstrated technical strengths of the Awardee(s). Zambia and Haiti will be an additional country assignment for UCSF, requiring TA blended with implementation support for a phased rollout of recent infection surveillance in select priority populations, facilities and/or districts.

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### **Programmatic Budgetary Comments**

*Note: Programmatic budget restrictions, concerns, and comments should be addressed prior to the award being made. This will take place during the OGS Budget Discussion.*

#### **Marked up Budget Certification (select one)**

I certify that I support the recipient's proposed categorical 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 the following comments/changes to the recipient's proposed categorical budget:

- Grantee should work with program to prepare a revised budget for \$3,654,000 and SOW that reflects program needs.



**Recommendations** (include any special conditions, but do not put potential HR/IRB restrictions/conditions in this section):

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

**PLEASE NOTE BEFORE COMPLETING RESTRICTIONS:**

- Recipients are not always funded at the level of the Year1 ceiling at the start of the award, 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.**

Object Classification	Restriction Amount
Salaries	\$ Click here to enter text.
Fringe Benefits	\$ Click here to enter text.
Consultants	\$ Click here to enter text.
Equipment	\$ Click here to enter text.
Supplies	\$ Click here to enter text.
Travel	\$ Click here to enter text.
Other	\$ Click here to enter text.
Contractual	\$ Click here to enter text.
Direct Costs	\$ Click here to enter text.
Indirect Costs	\$ Click here to enter text.
Total	\$ Click here to enter text.

**Restriction Justification:** (*Must be completed if restrictions are identified above, including any special conditions*)

**Potential Human Subjects Data Collection Activities**

*This section captures the Country Office's technical review and recommendations for potential human subject/data collection activities. CDC DGHT Science Integrity Branch will consider these comments/recommendations when reviewing this application. The only human subjects data collection restrictions that should be included in the NOA are those listed in the official memo from the DGHT Science Integrity Branch.*

**Does the application describe data collection activities potentially involving human subjects? The following are examples of activities that may constitute human subjects data collection activities:**

- Yes  No    Abstraction of data from patient medical records  
 Yes  No    Laboratory analysis of biological specimens (screening for STIs, HIV drug resistance testing, etc.)  
 Yes  No    Interviews with patients, family members, physicians  
 Yes  No    Community surveys or national surveys  
 Yes  No    Administration of individual questionnaires  
 Yes  No    Focus group discussions  
 Yes  No    Public health or targeted evaluations

If the application includes any of these activities, a portion of funding should be restricted pending review of activities potentially involving human subjects at CDC and should be outlined in Table I below. Specify the funding amount to be restricted as it relates to the specific activity potentially involving human subjects in order to avoid overall % restriction.

We recognize that human subjects data collection restrictions will apply, but we are requesting a substantially revised scope of work to focus on provision of technical assistance to CDC country teams and



their COP 2018 implementing partners. We therefore request that human subjects data collection restrictions be limited in scope and focused only on countries where UCSF will be conducting full implementation activities (e.g., Zambia).

Note: If the funding application includes human subject data collection activities that *have received the necessary approvals* (e.g., CGH project determination approval or CDC IRB approval) please denote these activities below in Table II.

**Table I. Proposed Potential Human Subjects Data Collection Restrictions**

Activity Description (Type of Activity/Study Population)	Page(s)	Proposed Restriction Amount <sup>1 2</sup>	Cost Category <sup>3</sup>	Comments
Zambia: Collection of patient level data		\$15,000	Indirect costs	Preparatory budget for training, equipment, reagents, test kits, and salaries/logistics for site preparation should not be restricted.
Zambia: Testing of blood samples		\$15,000	Indirect costs	Preparatory budget for training, equipment, reagents, test kits, and salaries/logistics for site preparation should not be restricted.
Zambia: Returning patient test results back to clinic		\$15,000	Indirect costs	Preparatory budget for training, equipment, reagents, test kits, and salaries/logistics for site preparation should not be restricted.

**Table II. Human Subjects Data Collection Activities Already Approved by CDC<sup>4</sup>**

<sup>1</sup> If the activity is strictly for programmatic purposes and will not result in a public report, funds should not be restricted. Provide an activity description and page number, but list \$0 in the Proposed Restriction Amount column.

<sup>2</sup> Funds for preparatory activities (e.g., protocol development, training, equipment, reagents, and site preparation) may be provided prior to protocol approval. To facilitate the availability of preparatory funding, specify a restriction only on funds associated with implementation, and make a note of the preparatory budget in the comments column.

<sup>3</sup> List the cost category of the proposed restriction's budget line. Categories include: Salaries, Fringe Benefits, Consultants, Equipment, Supplies, Travel, Other, Contractual, Direct Costs, and Indirect Costs.

<sup>4</sup> A copy of the CDC protocol approval (e.g., CGH Project Determination form signed by the CGH Human Research Protection Coordinator, a copy of CDC IRB approval memo) must be included when this technical review is returned to PBEMB. If no CDC approval document is provided, funds for implementing the activity will be restricted.



Activity Description (Type of Activity/Study Population)	Page(s)	Attached CDC Protocol Approval	Comments
1.			
2.			
3			
4.			
5			

Recipients engaged in research should be notified that they may need to apply to the U.S. Office for Human Research Protections (OHRP) for a Federal-Wide Assurance (FWA). An FWA is a pledge by an institution that they will adhere to ethical principles when engaged in research activities involving human subjects.

**Funding Package does not contain any data collection activities potentially involving human subjects.**

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DGHT respectfully requests this memo be included in the funding package for further discussion with the recipient during the official budget discussion with OGS, prior to the final award. Thank you very much, and we look forward to working with *Recipient Name*.

By signing below I certify that the country staff has worked through the OGAC Country Support Team Lead (CSTL) to verify that funding to this partner represents 8% or less of the total country budget or OGAC has granted a waiver to the partner for this policy. If a waiver is granted it must be included in the submission of this Funding Package.

\_\_\_\_\_ Emily Stong  
Project Officer (printed name)

Emily C. Stong -S  
\_\_\_\_\_ Project Officer Signature

Digitally signed by Emily C. Stong

-S

Date: 2018.10.12 10:46:27 -04'00'

\_\_\_\_\_ Date

\_\_\_\_\_ wrs8@cdc.gov  
E-mail Address

\_\_\_\_\_ 404-718-8292  
Phone

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**

1600 Clifton Road  
 Atlanta, GA 30329

**NOTICE OF AWARD**

AUTHORIZATION (Legislation/Regulations)  
 301(A)&307PHA42USC241&242&104 22USC151B

<b>1. DATE ISSUED</b> MM/DD/YYYY 06/18/2019		<b>1a. SUPERSEDES AWARD NOTICE</b> dated 06/10/2019 except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	
<b>2. CFDA NO.</b> 93.067 - Global AIDS			
<b>3. ASSISTANCE TYPE</b> Cooperative Agreement			
<b>4. GRANT NO.</b> 6 NU2GGH002170-01-04 Formerly		<b>5. TYPE OF AWARD</b> Service	
<b>4a. FAIN</b> NU2GGH002170		<b>5a. ACTION TYPE</b> Post Award Amendment	
<b>6. PROJECT PERIOD</b> MM/DD/YYYY From 11/01/2018		<b>Through</b> MM/DD/YYYY 09/29/2023	
<b>7. BUDGET PERIOD</b> MM/DD/YYYY From 11/01/2018		<b>Through</b> MM/DD/YYYY 09/29/2019	
<b>8. TITLE OF PROJECT (OR PROGRAM)</b> Recent Infection Surveillance Consortium			

**9a. GRANTEE NAME AND ADDRESS**  
 Regents of the University of California, San Francisco, The  
 3333 California St  
 -DUP2  
 San Francisco, CA 94118-1981

**9b. GRANTEE PROJECT DIRECTOR**  
 Dr. George1147948 Rutherford  
 3333 California Street  
 San Francisco, CA 94118  
 Phone: +1 415 476-5781

**10a. GRANTEE AUTHORIZING OFFICIAL**  
 Lei-Lei Win  
 1855 Folsom St Ste 425  
 San Francisco, CA 94103-4249  
 Phone: 415-987-1540

**10b. FEDERAL PROJECT OFFICER**  
 Ms. Emily Stong  
 12 Corporate Blvd NE  
 Brookhaven, GA 30329-1909  
 Phone: 404.718.8292

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET</b> (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <span style="float: right; border: 1px solid black; padding: 2px;">I</span>	
a. Salaries and WageS .....	1,672,091.00
b. Fringe Benefits .....	678,191.00
c. Total Personnel Costs .....	2,350,282.00
d. Equipment .....	121,952.00
e. Supplies .....	1,097,910.00
f. Travel .....	283,366.00
g. Construction .....	0.00
h. Other .....	379,114.00
i. Contractual .....	1,857,641.00
j. TOTAL DIRECT COSTS	6,090,265.00
k. INDIRECT COSTS	-2,236,265.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>3,854,000.00</b>
m. Federal Share	3,854,000.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	3,854,000.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	3,854,000.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>0.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>3,854,000.00</b>

**14. RECOMMENDED FUTURE SUPPORT**  
 (Subject to the availability of funds and satisfactory progress of the project):

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 2		d. 5	
b. 3		e. 6	
c. 4		f. 7	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
---	----------

**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS** (Other Terms and Conditions Attached -  Yes  No)

**GRANTS MANAGEMENT OFFICIAL:**

Percy Jernigan  
 2936 Brandywine Rd  
 Mailstop K75  
 Atlanta, GA 30341-5504  
 Phone: 770.488.2811

<b>17.OBJ CLASS</b> 41.51	<b>18a. VENDOR CODE</b> 1946036493A6	<b>18b. EIN</b> 946036493	<b>19. DUNS</b> 094878337	<b>20. CONG. DIST.</b> 12
<b>FY-ACCOUNT NO.</b>	<b>DOCUMENT NO.</b>	<b>ADMINISTRATIVE CODE</b>	<b>AMT ACTION FIN ASST</b>	<b>APPROPRIATION</b>
21. a. 9-9390BJD	b. 19NU2GGH002170	c. GH	d. \$0.00	e. 75-19-1822-1031-001
22. a. 9-9390BKV	b. 19NU2GGH002170	c. GH	d. \$0.00	e. 75-19-1822-1031-001
23. a.	b.	c.	d.	e.

## NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2

DATE ISSUED  
06/18/2019

GRANT NO. 6 NU2GGH002170-01-04

**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
<b>Total</b>	<b>\$0.00</b>	<b>\$0.00</b>	<b>\$0.00</b>



## AWARD ATTACHMENTS

Regents Of The University Of California, San Francisco, The

6 NU2GGH002170-01-04

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1. travel approval

**FUNDING OPPORTUNITY ANNOUNCEMENT (FOA) NUMBER: GH19-1942  
GRANT # NU2GGH002170-01-04**

ADDITIONAL TERMS AND CONDITIONS OF THIS AWARD

**APPROVAL OF TRAVEL COSTS:** This action approves budget and justification in the amount of \$8,396 for travel costs for satellite session of IAS meeting from the letter request dated May 14, 2019. The request has been reviewed and approved. Budget redirection is not requested for this action as funds are already in approved travel budget.

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 YOUR AWARD NUMBER ON ALL CORRESPONDENCE

Percy Jernigan  
Grants Management Specialist (GMS)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
lbj7@cdc.gov | 770.488.2811

Dionne Bounds, Team Lead  
Grants Management Officer (GMO)  
Office of Grants Services (OGS)  
Office of Financial Resources (OFR)  
Office of the Chief Operating Officer (OCOO)  
Centers for Disease Control and Prevention (CDC)  
Dbounds@cdc.gov | 770.488.2082

## Attachment D – Representations and Certification

**By signing the Subaward Agreement, the authorized official of Subrecipient certifies, to the best of his/her knowledge and belief that:**

**Debarment, Suspension, and Other Responsibility Matters:** Subrecipient certifies by signing this Subaward Agreement that neither it nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any federal department or agency.

**Single Audit Assurance:** Subrecipient assures Prime Recipient that it complies with A-133, 45 CFR 75, and/or 2 CFR 200, and that it will notify Prime Recipient of completion of required audits and of any adverse findings which impact this subaward.

**Non-Discrimination:** The Subrecipient must comply with Title VI of the Civil Rights Act of 1964, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, Title IX of the Education Amendments of 1972, as amended, and certifies that valid Assurances of Compliance (Form HHS 690) are on file with the HHS Office for Civil Rights.

**Statement of Non-Delinquency on Federal Debt:** The Subrecipient certifies that it is in compliance with Office of Management and Budget Memorandum M-84-32, "Certification of Non-delinquency by Applicants for Federal Assistance," which provides that the recipient of federal funds is not delinquent on the repayment of any Federal debt.

**Scientific Integrity:** Subrecipient certifies that the institution has established administrative policies as required by the Final Rule (42 CFR 50, Subpart A), and that it will comply with those policies and the requirements of the Final Rule as published at 54 FR 32446 (August 8, 1989). Expenditures of awarded funds by the Subrecipient for research that are invalid or unreliable because of misconduct in science may be determined to be unallowable costs for which the Subrecipient is liable for repayment.

**Certification of a Drug-Free Workplace:** The Subrecipient certifies that it has implemented appropriate policy in accordance with the Drug-Free Workplace Act of 1988 as provided in 45 CFR 76, Subpart F.

**Gun Control Prohibition (Div. G, Title II, Sec. 217):** "None of the funds made available in this title may be used, in whole or in part, to advocate or promote gun control."

**Lobbying Restrictions (Div. G, Title V, Sec. 503):**

503(a): "No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, electronic communication, radio, television, or video presentation designed to support or defeat the enactment of legislation before the Congress or any State or local legislature or legislative body, except in presentation of the Congress or any State or local legislature itself, or designed to support or defeat any proposed or pending regulation, administrative action, or order issued by the executive branch of any State or local government itself."

503(b): "No part of any appropriation contained in this Act or transferred pursuant to section 4002 of Public Law 111-148 shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence the enactment of legislation, appropriations, regulation, administrative action, or Executive order proposed or pending before the Congress or any State government, State legislature or local legislature or legislative body, other than normal and recognized executive legislative relationships or participation by an agency or officer of an State, local or tribal government in policymaking and administrative processes within the executive branch of that government."

503(c): “The prohibitions in subsections (a) and (b) shall include any activity to advocate or promote any proposed, pending or future Federal, State or local tax increase, or any proposed, pending, or future requirement or restriction on any legal consumer product, including its sale or marketing, including but not limited to the advocacy or promotion of gun control.”

For additional information, see Additional Requirement 12 at

<http://www.cdc.gov/grants/additionalrequirements/index.html> and Anti Lobbying Restrictions for CDC Grantees at [http://www.cdc.gov/grants/documents/Anti-Lobbying\\_Restrictions\\_for\\_CDC\\_Grantees\\_July\\_2012.pdf](http://www.cdc.gov/grants/documents/Anti-Lobbying_Restrictions_for_CDC_Grantees_July_2012.pdf)

**Needle Exchange (Div. G, Title V, Sec. 521):** “Notwithstanding any other provision of this Act, no funds appropriated in this Act shall be used to carry out any program of distributing sterile needles or syringes for the hypodermic injection of any illegal drug.”

**Blocking Access to Pornography (Div. G, Title V, Sec. 526):** “(a) None of the funds made available in this Act may be used to maintain or establish a computer network unless such network blocks the viewing, downloading, and exchanging of pornography; (b) Nothing in subsection (a) shall limit the use of funds necessary for any Federal, State, tribal, or local law enforcement agency or any other entity carrying out criminal investigations, prosecution, or adjudication activities.”

## ATTACHMENT E

Research Subaward Agreement  
Pass-Through Entity (PTE) Contacts

Subaward Number:

11408sc

**PTE Information**

Entity Name: The Regents of the University of California, San Francisco

Legal Address: 3333 California Street, Ste. 315  
San Francisco, CA 94143-0962Website: <http://osr.ucsf.edu>**PTE Contacts**Central Email: [cgsuboutteam@ucsf.edu](mailto:cgsuboutteam@ucsf.edu)

Principal Investigator Name: George Rutherford

Email: [George.Rutherford@ucsf.edu](mailto:George.Rutherford@ucsf.edu)

Telephone Number:

Administrative Contact Name: Lynette Simon-Moret

Email: [lynette.moret@ucsf.edu](mailto:lynette.moret@ucsf.edu)

Telephone Number:

COI Contact email (if different to above): [coiac@ucsf.edu](mailto:coiac@ucsf.edu)

Financial Contact Name: Atour Malko

Email: [Atour.Malko@ucsf.edu](mailto:Atour.Malko@ucsf.edu)

Telephone Number:

Email invoices?  Yes  No Invoice email (if different): [subcontract@ucsf.edu](mailto:subcontract@ucsf.edu)

Authorized Official Name: Subaward Manager, Research Management Services

Email: [CGSubOutTeam@ucsf.edu](mailto:CGSubOutTeam@ucsf.edu)

Telephone Number:

**PI Address:**3333 California Street, Ste. 315  
San Francisco, CA 94153-0962**Administrative Address:**3333 California Street, Ste. 315  
San Francisco, CA 94153-0962**Invoice Address:**1855 Folsom Street, #425  
San Francisco, CA 94143-0812

### Subrecipient Contacts

Subaward Number:

11408sc

#### Subrecipient Information for [FFATA](#) reporting

Entity's DUNS Name:

EIN No.:  Institution Type:

DUNS:  Currently registered in SAM.gov:  Yes  No

Exempt from reporting executive compensation:  Yes  No *(if no, complete 3Bpg2)*

Parent DUNS:  *This section for U.S. Entities:* Zip Code [Look-up](#)

Place of Performance Address Congressional District:  Zip Code+4:

#### Subrecipient Contacts

Central Email:

Website:

Principal Investigator Name:

Email:  Telephone Number:

Administrative Contact Name:

Email:  Telephone Number:

Financial Contact Name:

Email:  Telephone Number:

Invoice/Payment Email:

Authorized Official Name:

Email:  Telephone Number:

#### Legal Address:

#### Administrative Address:

#### Payment Address:

**Highest Compensated Officers**

Subaward Number:  
11408sc

**Subrecipient:**

Institution Name:

PI Name:

**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:

**FDP Amendment  
Number**

**Pass-Through Entity (PTE)** **Subrecipient**

The Regents of the University of California, San Francisco Entity Name   
 CGSubOutTeam@ucsf.edu Email Address   
 George W. Rutherford Principal Investigator

Project Title:

PTE Federal Award No:  Federal Awarding Agency:

**Revised Period of Performance:** Amount Funded This Action: Subaward No:  
 Start Date:  End Date:

Total Amount of Federal Funds Obligated to Date:  Cost Share: Subject to FFATA: Automatic Carryover:  
 Yes  No  Yes  No  Yes  No

**Amendment(s) to Original Terms and Conditions**  
 This Amendment revises the above-referenced Subaward Agreement as follows:

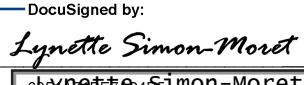
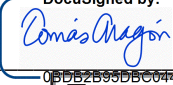
- This is a No Cost Extension. The Period of Performance is hereby extended through:
- to  is hereby added to the Period of Performance, which is revised to be consistent with the Period of Performance Start and End Date above.
- Additional funds in the amount of  are hereby authorized for the current period.
- Carryover in the amount of  is hereby authorized as shown below.
- Other (see below)

NOTE: As of September 30, 2019 the previous subaward 11408sc has changed to a new subaward number 11580sc. All invoices for the project period September 30, 2019 through September 29, 2020 must reference this new subaward number.

The Scope of Work is modified to include those tasks in Attachment A to this Amendment.

*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: DocuSigned by:  <input type="text" value="10/21/2019"/> Name: <input type="text" value="Lynette Simon-Moret"/> Date Title: <input type="text" value="Subcontract Officer, RMS"/>	By an Authorized Official of Subrecipient: DocuSigned by:  <input type="text" value="10/17/2019"/> 7:51 PM Name: <input type="text" value="Tomas Aragon"/> Date Title: <input type="text" value="Director of Population Health Division"/>
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ATTACHMENT A

**SFDPH Subcontract**

**Scope of Work**

- 1. Name of Contractor:** San Francisco Department of Public Health (SFDPH)
- 2. Award Budget Period:** 09/30/2019 – 9/29/2020
- 3. Subcontract Performance Period:** 09/30/2019 – 9/29/2020
- 4. Scope of Work:** In close collaboration with UCSF, SFDPH will provide technical assistance and capacity building for rollout of HIV recency in multiple countries, including Burundi, Cambodia, Kenya, Malawi, Namibia, Thailand/Laos, Uganda, Vietnam, and Zambia.

**San Francisco Department of Public Health Subcontract**  
**Budget Period: 9/30/2019-9/29/2020**  
**Budget Name: Recency Revised Budget**

**A. Salaries and Wages**

<b>Personnel</b>	<b>Position Title</b>	<b>Current Salary</b>	<b>% effort</b>	<b># mos.</b>	<b>(A) Salary</b>	<b>(B) Benefits</b>	<b>Total</b>
McFarland, Willi	Director of Surveillance	\$192,300	25%	12	\$48,075	\$14,600	\$62,675
							\$0
<b>Total Personnel</b>				25%	\$48,075	\$14,600	\$62,675

**Total Direct Costs**

Overhead at 12%

**Grand Total**

\$62,675

\$7,521

**\$70,196**

**SFDPH Subcontract**

**Award Budget Period: 09/30/2019 – 9/29/2020**

***Budget Justification:***

**Personnel:**

**Willi, McFarland, *Director of Surveillance***, has several years of experience working on surveillance in general and key populations, in both domestic and international settings. He will provide high-level technical assistance on surveillance strategy for HIV recency. We request 25% (\$48,075) salary support for this position for 12 months.

**Subaward Fringe Benefit and Indirect Cost Rates:**

The fringe benefit rate is calculated as 30.37% of Willi McFarland' salary (\$14,600).

The indirect cost rate is 12% of total direct expenses (\$7,521).

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**

2939 Brandywine Road  
 Atlanta, GA 30341

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 301(A)&307PHA42USC241&242&104 22USC151B

<b>1. DATE ISSUED</b> MM/DD/YYYY 08/13/2019		<b>1a. SUPERSEDES AWARD NOTICE</b> dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	
<b>2. CFDA NO.</b> 93.067 - Global AIDS			
<b>3. ASSISTANCE TYPE</b> Cooperative Agreement			
<b>4. GRANT NO.</b> 5 NU2GGH002170-02-00 Formerly		<b>5. TYPE OF AWARD</b> Service	
<b>4a. FAIN</b> NU2GGH002170		<b>5a. ACTION TYPE</b> Non-Competing Continuation	
<b>6. PROJECT PERIOD</b> MM/DD/YYYY From 11/01/2018		<b>Through</b> MM/DD/YYYY 09/29/2023	
<b>7. BUDGET PERIOD</b> MM/DD/YYYY From 09/30/2019		<b>Through</b> MM/DD/YYYY 09/29/2020	
<b>8. TITLE OF PROJECT (OR PROGRAM)</b> Recent Infection Surveillance Consortium			

**9a. GRANTEE NAME AND ADDRESS**  
 Regents of the University of California, San Francisco, The  
 3333 California St  
 -DUP2  
 San Francisco, CA 94118-1981

**9b. GRANTEE PROJECT DIRECTOR**  
 Dr. George1147948 Rutherford  
 3333 California Street  
 San Francisco, CA 94118  
 Phone: +1 415 476-5781

**10a. GRANTEE AUTHORIZING OFFICIAL**  
 Lei-Lei Win  
 1855 Folsom St Ste 425  
 San Francisco, CA 94103-4249  
 Phone: 415-987-1540

**10b. FEDERAL PROJECT OFFICER**  
 Ms. Emily Stong  
 12 Corporate Blvd NE  
 Brookhaven, GA 30329-1909  
 Phone: 404.718.8292

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET</b> (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <b>I</b>	
a. Salaries and WageS .....	1,989,607.00
b. Fringe Benefits .....	821,079.00
c. Total Personnel Costs .....	2,810,686.00
d. Equipment .....	0.00
e. Supplies .....	147,829.00
f. Travel .....	228,689.00
g. Construction .....	0.00
h. Other .....	941,396.00
i. Contractual .....	1,098,977.00
j. TOTAL DIRECT COSTS	5,227,577.00
k. INDIRECT COSTS	1,283,261.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>6,510,838.00</b>
m. Federal Share	6,510,838.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	6,510,838.00
b. Less Unobligated Balance From Prior Budget Periods	0.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>6,510,838.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>10,364,838.00</b>

**14. RECOMMENDED FUTURE SUPPORT**  
 (Subject to the availability of funds and satisfactory progress of the project):

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 3		d. 6	
b. 4		e. 7	
c. 5		f. 8	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS** (Other Terms and Conditions Attached -  Yes  No)

**GRANTS MANAGEMENT OFFICIAL:**

Percy Jernigan  
 2936 Brandywine Rd  
 Mailstop K75  
 Atlanta, GA 30341-5504  
 Phone: 770.488.2811

<b>17.OBJ CLASS</b> 41.51	<b>18a. VENDOR CODE</b> 1946036493A6	<b>18b. EIN</b> 946036493	<b>19. DUNS</b> 094878337	<b>20. CONG. DIST.</b> 12
<b>FY-ACCOUNT NO.</b>	<b>DOCUMENT NO.</b>	<b>ADMINISTRATIVE CODE</b>	<b>AMT ACTION FIN ASST</b>	<b>APPROPRIATION</b>
21. a. 9-9390BJD	b. 19NU2GGH002170	c. GH	d. \$0.00	e. 75-19-1822-1031-001
22. a. 9-9390BKV	b. 19NU2GGH002170	c. GH	d. \$0.00	e. 75-19-1822-1031-001
23. a. 9-9390A1	b. 19NU2GGH00217019KECO	c. GH	d. \$200,000.00	e. 75-19-1721-1031-001

## NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2	DATE ISSUED 08/13/2019
GRANT NO. 5 NU2GGH002170-02-00	

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 9-9390BEF	b. 19NU2GGH00217019UGCO	c. GH	d. \$100,000.00	e. 75-1920-0955
25.a. 9-9390BHJ	b. 19NU2GGH00217019MWCO	c. GH	d. \$130,000.00	e. 75-19-1822-1031-001
26.a. 9-9390BHM	b. 19NU2GGH00217019NACO	c. GH	d. \$250,000.00	e. 75-19-1822-1031-001
27.a. 9-9390BHZ	b. 19NU2GGH00217019VNCO	c. GH	d. \$180,838.00	e. 75-19-1822-1031-001
28.a. 9-9390BJ0	b. 19NU2GGH00217019ZACO	c. GH	d. \$400,000.00	e. 75-19-1822-1031-001
29.a. 9-9390BL0	b. 19NU2GGH00217019ACCO	c. GH	d. \$50,000.00	e. 75-19-1822-1031-001
30.a. 9-9390BY2	b. 19NU2GGH002170	c. GH	d. \$5,200,000.00	e. 75-19-1519-1031-001

**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

## AWARD ATTACHMENTS

Regents Of The University Of California, San Francisco, The

5 NU2GGH002170-02-00

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1. UCSF terms 2019
2. Component breakdown
3. TR Part 1
4. TR Part 2

**Incorporation:** In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Non-research awards at <https://www.cdc.gov/grants/federalregulationspolicies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **GH19-1942**, entitled **Public Health Surveillance of Recent HIV Infection and Response under the President's Emergency Plan for AIDS Relief (PEPFAR)**, and application dated May 6, 2019, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

**Approved Funding:** Funding in the amount of **\$27,000,000.00** is approved for the **Year 02** budget period, which is September 30, 2019 through September 29, 2020. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

The federal award amount is subject to adjustment based on total allowable costs incurred and/or the value of any third party in-kind contribution when applicable.

**Available Funding:** The CDC approves Component funding for components A. As a result, some components of the total approved funding amounts are approved but unfunded. Funding in the amount of **\$6,510,838.00** in Financial Assistance (FA) is awarded on this NoA.

Note: Refer to the Payment Information section for Payment Management System (PMS) subaccount information.

**Component/Project Funding:** The NOFO provides for the funding of multiple components under this award. The approved component funding levels for this notice of award are:

<b>NOFO Component</b>	<b>Amount</b>
Component 1 September	\$ 6,510,838.00
Component 2 Q1 COP	\$ 949,950.00
Component 3 Q2 COP	\$ 423,250.00
Component 4 Q3 COP	\$ 363,250.00
Component 5 Q4 COP	\$ 320,000.00
Component 6 Burundi COP	\$ 700,000.00
Component 7 Asia Region Performance	\$ 200,000.00
Component 8 Performance Expansion Q1	\$ 5,000,000.00
Component 9 Performance Expansion Q2	\$ 5,000,000.00
Component 10 Performance Expansion Q3	\$ 7,532,712.00

**NOTE:** Please see attachment for detailed breakdown of components.

**Financial Assistance Mechanism:** Cooperative Agreement

**Substantial Involvement by CDC:** This is a cooperative agreement and CDC will have substantial programmatic involvement after the award is made. Substantial involvement is in addition to all post-award monitoring, technical assistance, and performance reviews undertaken in the normal course of stewardship of federal funds.

CDC program staff will assist, coordinate, or participate in carrying out effort under the award, and recipients agree to the responsibilities therein, as detailed in the NOFO.

**Technical Review Statement Response Requirement:** The review comments on the strengths and weaknesses of the proposal are provided as part of this award. A response to the weaknesses in these statements must be submitted to and approved, in writing, by the Grants Management Specialist/Grants Management Officer (GMS/GMO) noted in the CDC Staff Contacts section of this NoA, no later than 30 days from the budget period start date. Failure to submit the required information by the due date, October 31, 2019, will cause delay

**Budget Revision Requirement:** By October 31, 2019 the recipient must submit a revised budget with a narrative justification. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the CDC Staff Contacts section of this notice before the due date.

**Program Income:** Any program income generated under this grant or cooperative agreement will be used in accordance with the Addition alternative.

Deduction alternative: Under this alternative, program income is deducted from total allowable project/program costs to determine the net allowable costs on which the federal share of costs is based. This is similar to an applicable credit being applied to reduce the amount of the federal award.

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Cost sharing or matching alternative: Under this alternative, program income is used to finance some or the entire non-federal share of the project/program.

Note: The disposition of program income must have written prior approval from the GMO.

#### FUNDING RESTRICTIONS AND LIMITATIONS

**Human Subjects Restriction(s):** Human Subjects restrictions apply to this current budget period only and do not apply to carryover of unobligated funding from a prior budget year. All continuation activities and budget items will be reviewed by the Office of Associate Director for Science every budget period, and applicable restrictions will be enforced during that budget period.

This **Continuation** application proposes **\$27,000,000** of funding for activities in support of the above-mentioned project.

In addition to service provision, this application includes support for potential data collection from persons, personal records, or for laboratory specimen collection and testing that may result in public dissemination. Of the total approved budget **\$214,290**, shall be restricted until protocols describing the activities below have been submitted to CDC DGHT-Atlanta for scientific/technical review and review of institutional human subjects protection considerations.

A. Restriction ID Number: **HQ-19-002170-21**

Restricted Activity: Implementation of Recent Infection Surveillance - Vietnam  
Page(s): 25 (narrative)  
Restriction Amount: \$35,715  
Cost Category: Indirect Cost

B. Restriction ID Number: **HQ-19-002170-22**

Restricted Activity: Implementation of Recent Infection Surveillance - Vietnam  
Page(s): 25 (narrative)  
Restriction Amount: \$35,715  
Cost Category: Direct Cost

C. Restriction ID Number: **HQ-19-002170-23**

Restricted Activity: Implementation of Recent Infection Surveillance - Cambodia  
Page(s): 26 (narrative)  
Restriction Amount: \$35,715  
Cost Category: Indirect Cost



Restricted Activity: Implementation of Recent Infection Surveillance - Cambodia

Page(s): 26 (narrative)

Restriction Amount: \$35,715

Cost Category: Direct Cost

E. Restriction ID Number: **HQ-19-002170-25**

Restricted Activity: Implementation of Recent Infection Surveillance - Burundi

Page(s): 27 (narrative)

Restriction Amount: \$35,715

Cost Category: Indirect Cost

F. Restriction ID Number: **HQ-19-002170-26**

Restricted Activity: Implementation of Recent Infection Surveillance - Burundi

Page(s): 27 (narrative)

Restriction Amount: \$35,715

Cost Category: Direct Cost

All funding restrictions placed on potential data collection activities involving human subjects must be resolved no later than the end of this budget year. Data collection protocols required to release funding restrictions placed on potential data collection activities involving human subjects must be submitted to the DGHT Science Integrity Branch for review within 6 months of receiving the Notice of Award. Exceptions to these deadlines will need to be submitted in writing to the Office of Financial Resources (OFR) Grants Management Officer. If any of the restricted activities have received local IRB approval, an IRB-exempt determination, or an institutional non-research determination please submit the approval documentation with the protocol to the **Headquarters** CDC DGHT Office.

When all necessary CDC approvals have been obtained for a restricted activity, please submit a copy of the approval(s) along with a release of Human Subjects Data Collection Restriction Release Request Form to your OFR Grants Management Specialist via email.

Note 1: If funds for preparatory activities (e.g., protocol development, training, equipment, reagents, and site preparation) were not included in the application, these funds may be provided prior to protocol approval. To request funds for preparatory activities please submit a narrative describing the activities along with a release of Human Subjects Data Collection Restriction Release Request Form to your OFR Grants Management Specialist via email.

Note 2: If the restricted activity is a part of routine clinic or program operations, or laboratory quality assurance that will not result in public dissemination, please submit a narrative justification along with a release of Human Subjects Data Collection Restriction Release Request Form and country approval to your OFR Grants Management Specialist via email. Protocol approval is not required for these activities.

Note 3: Restricted funds shall not be withdrawn until approval is received and the restrictions have been lifted by an amended notice of award. Conducting any restricted activities without receiving CDC approval will result in enforcement action, which may require repayment of expended funds.

Note 4: With regard to scientific conference attendance, as stated in the Notice of Funding Opportunity, "IPs with accepted oral posters or oral abstracts for presentations that give clear attribution to PEPFAR may be authorized to use PEPFAR funds for travel providing that funds are available for travel. Funds for travel must be drawn from an existing agreement with the IP and not from PEPFAR country program management and operations budget. IPs must obtain prior approval from their respective Project Officer for participation and on availability and use of funds." Please note that use of cooperative agreement funds to attend scientific conferences by non-presenters and non-oral poster presenters is not authorized, except by Partner Government Officials with approval of the PEPFAR Deputy Principals through the process outlined in the Notice of Funding Opportunity.

To obtain the Human Subjects Data Collection Restriction Release Request Form, or for more information on releasing human subjects data collection restrictions, contact the

**Indirect costs:** Indirect costs are based on the negotiated indirect cost rate agreement dated October 6, 2017. The rates in this agreement are to be used for the entire project period, including any approved extensions, in accordance with 45 CFR Part 75, Appendix III. Indirect cost/facilities and administration rates for subcontracts will be treated in the same manner as those for the recipient, if the subcontractor is covered by 45 CFR Part 75, Appendix III.

**Foreign Taxes:** Pursuant to applicable grant regulations, foreign taxes charged for the purchase of goods or services that a non-federal entity is legally required to pay in country are an allowable expense under federal awards. For purposes of this term, foreign taxes include value-added taxes (VAT), customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in the funding agreement, which may include the purchase, import, use or re-export of goods or services.

The determination of whether such foreign taxes are an allowable expense will depend on whether an exemption or effective reimbursement mechanism exists in country. Effective reimbursement is defined as a reimbursement mechanism that provides for no less than substantial reimbursement of USG funds. Generally such exemptions or rights to reimbursement are set forth in bilateral or other legal agreements between the United States Government (USG) and the host country.

1. **Countries where an exemption or right to reimbursement exists:**

In countries where a bilateral or other legal agreement sets forth an exemption, the recipient must take advantage of the exemption and may not pay taxes with award funds. If, however, the host country implements the exemption through a reimbursement mechanism, the recipient may pay the taxes with award funds but must request and receive the reimbursement, as those expenses are deemed an unallowable expense under the award. If the reimbursement mechanism is used, recipients should consult with the CDC project officer and the CDC grants management specialist to determine how the reimbursed funds should be handled. If reimbursement is requested but not received from the host country despite significant effort, so long as recipient provides sufficient documentation showing efforts to seek reimbursement to the CDC grants management specialist, the foreign tax payment will be an allowable expense.

2. **Countries where no exemption and/or no right to reimbursement exist:**

In countries where a) there is no bilateral or other legal agreement in force setting forth either an exemption or a right to reimbursement, b) a bilateral or other legal agreement is in force but does not provide for an exemption or a right to reimbursement, the recipient may pay foreign taxes with award funds. Such payments would be deemed allowable expenses.

3. **Countries where a specific bilateral agreement between the US and the host country (e.g., 1951 Bilateral Agreement between the US and the UK applicable to former UK territories; 1989 bilateral between the US and Swaziland) applies (Bahamas, India, Kenya, Suriname, Swaziland, Trinidad and Tobago, and Zambia):**

Consistent with the bilateral agreement, this Notice of Grant Award represents the implementing agreement required by the bilateral agreement for tax purposes. Pursuant to the specific bilateral agreement in force, the host country has agreed that USG funds (e.g., HHS/CDC funds, PEPFAR funds) provided to and utilized by recipient, as it carries out the program activities and objectives set forth in this implementing agreement, shall be free from taxes imposed under laws in effect in the host country. These tax exemptions on USG funds include, but are not limited to, the following:

a. Taxes, customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in this agreement, which may include the purchase, import, use or re-export of goods or services, including value-added taxes (VAT). Goods include, but are not limited to, commodities, equipment and supplies, including automobiles, which

have been imported for the purpose of the funded program activities and objectives.  
c. Recipient shall pay taxes on the income of the organization on income allowed by HHS/CDC to be derived from HHS/CDC funding of program activities and objectives set forth in this agreement.

- c. Taxation on personal income paid from HHS/CDC funds to employees of Recipient who pay taxes on their income to the United States Government; and
- d. Should any conflict or disagreement about the above exemptions arise, Recipient agrees to promptly notify CDC (project officer or grants management officer) to work to resolve such matters, guided by the principle that the funding furnished by HHS/CDC is free from taxation.

### **Prostitution and Sex Trafficking (Items 1 through 6):**

1. Consistent with Section 7631(e) of the U.S. Leadership Against HIV/AIDS, Tuberculosis, and Malaria Act of 2003, 22 USC §§ 7601 et seq. (“the Leadership Act”), the U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.
2. Additionally, consistent with Section 7631(f) of the Leadership Act, a prime recipient that is a non-U.S. nongovernmental organization acknowledges that, by accepting this award, it agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.
3. Contractors and subcontractors are exempt from the above requirements if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight forwarding.
4. Notwithstanding the contract exemption above, not exempt from these provisions are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:
  - i. Providing supplies or services directly to the final populations receiving such supplies or services in host countries;
  - ii. Providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
  - iii. Providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient’s chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).
5. Subrecipients
  - i. Prime recipient shall insert the following provision in subawards or subcontracts: “None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.”
  - ii. Prime recipients shall insert the following provision in subawards or subcontracts subject to Section 7631(f) (i.e., those to non-U.S. nongovernmental organizations): “By accepting this award, the subrecipient/ subcontractor agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.”

The following definitions apply for purposes of the above provisions:

- i. "Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.
- ii. "Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.
- iii. "Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by (HHS OPDIV) prior to the end of its term.

Any enforcement of this provision is subject to courts' orders in *Alliance for Open Society International v. USAID* (See, e.g., S.D.N.Y. 05 Civ. 8209, Orders filed on January 30, 2015 and June 6, 2017, granting permanent injunction).

**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. The link to the full text is at:

<https://www.cdc.gov/grants/federal-regulations-policies/index.html>

#### REPORTING REQUIREMENTS

**Performance Progress and Monitoring:** Performance information collection initiated under this grant/cooperative agreement has been approved by the Office of Management and Budget under **OMB Number 0920-1132 "Performance Progress and Monitoring Report", Expiration Date 8/31/2019.** The components of the PPMR are available for download at: <https://www.cdc.gov/grants/alreadyhavegrant/Reporting.html> .

**Reporting of Foreign Taxes:** The U.S. Department of State requires that agencies collect and report information on the amount of taxes assessed, reimbursed and not reimbursed by a foreign government against commodities financed with funds appropriated by the U.S. Department of State, Foreign Operations and Related Programs Appropriations Act (SFOAA) of 2011 (United States foreign assistance funds). Outlined below are the specifics of this requirement:

- a. Annual Report. The recipient must submit a report on or before November 16 for each foreign country on the amount of foreign taxes charged, as of September 30 of the same year, by a foreign government on commodity purchase transactions valued at \$500 USD or more financed with United States foreign assistance funds under this grant during the prior United States fiscal year (October 1 - September 30), and the amount reimbursed and unreimbursed by the foreign government. [Reports are required even if the recipient did not pay any taxes during the reporting period.]
- b. Quarterly Report. The recipient must quarterly submit a report on the amount of foreign taxes charged by a foreign government on commodity purchase transactions valued at \$500 USD or more financed with United States foreign assistance funds under this grant. This report shall be submitted no later than two weeks following the end of each quarter: April 15, July 15, October 15 and January 15.
- c. Terms: For purposes of this clause:
  - i. Commodity means any material, article, supplies, goods, or equipment;
  - ii. Foreign government includes any foreign government entity;

iii. Foreign taxes means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.

- d. Where: Submit the reports to the Director and Deputy Director of the CDC office in the country(ies) in which you are carrying out the activities associated with this cooperative agreement. In countries where there is no CDC office, send reports to [VATreporting@cdc.gov](mailto:VATreporting@cdc.gov).
- e. Contents of Reports. The reports must contain:
  - i. recipient name;
  - ii. contact name with phone, fax, and e-mail;
  - iii. agreement number(s) if reporting by agreement(s);
  - iv. reporting period;
  - v. amount of foreign taxes assessed by each foreign government;
  - vi. amount of any foreign taxes reimburse by each foreign government;
  - vii. amount of foreign taxes unreimbursed by each foreign government.
- f. Sub-agreements. The recipient must include this reporting requirement in all applicable subgrants and other sub-agreements.

**Required Disclosures for Federal Awardee Performance and Integrity Information System (FAPIS):**

Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the CDC, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the CDC and to the HHS OIG at the following addresses:

CDC, Office of Grants Services  
Percy Jernigan, Grants Management Officer/Specialist  
Centers for Disease Control and Prevention  
Global Health Services Branch

Page 9 of 12

2920 Brandywine Road  
Atlanta, Georgia 30341  
Fax: 770-488-2688  
Email: [ibj7@cdc.gov](mailto:ibj7@cdc.gov)

AND

U.S. Department of Health and Human Services  
Office of the Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW  
Cohen Building, Room 5527  
Washington, DC 20201

Fax: (202)-205-0604 (Include "Mandatory Grant Disclosures" in subject line) or  
Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Recipients must include this mandatory disclosure requirement in all subawards and contracts under this award.

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371. Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 and 376, and 31 U.S.C. 3321).

CDC is required to report any termination of a federal award prior to the end of the period of performance due to material failure to comply with the terms and conditions of this award in the OMB-designated integrity and performance system accessible through SAM (currently FAPIS). (45 CFR 75.372(b)) CDC must also notify the recipient if the federal award is

## PROGRAM OR FUNDING GENERAL REQUIREMENTS

**PEPFAR Branding:** All PEPFAR-funded programs or activities must adhere to PEPFAR branding guidance, which includes guidance on the use of the PEPFAR logo and/or written attribution to PEPFAR. PEPFAR branding guidance can be found at <http://www.pepfar.gov/reports/guidance/branding/index.htm>

## PAYMENT INFORMATION

*The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to [hstips@oig.hhs.gov](mailto:hstips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.*

**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.

The grant document number identified on the bottom of Page 1 of the Notice of Award must be known in order to draw down funds.

**Document Number: 19NU2GGH00217019ACCO – Cambodia**

**19NU2GGH00217019KECO – Kenya**

**19NU2GGH00217019MWCO – Malawi**

**19NU2GGH00217019VNCO – Vietnam**

**19NU2GGH00217019ZACO – Zambia**

**19NU2GGH00217019UGCO – Uganda**

**19NU2GGH00217019NACO – Namibia**

**19NU2GGH002170 - HQ**

**Exchange Rate:** All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC may not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

## CDC Staff Contacts

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards.

**GMS Contact:**

Global Health Services Branch  
2920 Brandywine Road  
Atlanta, Georgia 30341  
Telephone: 770-488-2811  
Fax: 770-488-2688  
Email: [ibj7@cdc.gov](mailto:ibj7@cdc.gov)

**Program/Project Officer:** The PO is the federal official responsible for monitoring the programmatic, scientific, and/or technical aspects of grants and cooperative agreements, as well as contributing to the effort of the award under cooperative agreements.

**Programmatic Contact:**

Emily Stong, Project Officer  
Centers for Disease Control  
Telephone: 404.718.8292  
Email: [wrs8@cdc.gov](mailto:wrs8@cdc.gov)

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards. The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

Dionne Bounds, Grants Management Officer  
Centers for Disease Control and Prevention  
**Global Health Services Branch**  
2920 Brandywine Road  
Atlanta, GA 30341  
Telephone: 770-488-2082  
Fax: 770-488-2688  
Email: [Dbounds@cdc.gov](mailto:Dbounds@cdc.gov)





**COMPONENT BREAKDOWN APPROVED BY PROJECT OFFICER**

Budget Category	Component 1 September currently available	Component 2 Q1 COP approved but unfunded	Component 3 Q2 COP approved but unfunded	Component 4 Q3 COP approved but unfunded	Component 5 Q4 COP approved but unfunded	Component 6 Burundi COP approved but unfunded	Component 7 Asia Region Performance approved but unfunded	Component 8 Performance Expansion Q1 approved but unfunded	Component 9 Performance Expansion Q2 Approved but unfunded	Component 10 Performance Expansion Q3 Approved but unfunded	Total Approved Budget
Salaries & Wages	\$1,989,607	\$275,394	\$108,780	\$88,080	\$79,830	\$0	\$20,016	\$0	\$0	\$0	\$2,561,707
Fringe Benefits	\$821,079	\$65,063	\$24,153	\$19,958	\$19,958	\$0	\$0	\$0	\$0	\$0	\$950,211
Consultant Service	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Equipment	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Supplies	\$147,829	\$78,750	\$82,250	\$82,250	\$12,250	\$0	\$0	\$0	\$0	\$0	\$403,329
Travel Costs	\$228,689	\$28,630	\$24,345	\$21,265	\$21,265	\$0	\$5,910	\$0	\$0	\$0	\$330,104
Alterations and Renovations	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
Other Costs	\$941,396	\$80,473	\$27,935	\$25,069	\$25,069	\$600,613	\$0	\$3,863,216	\$3,863,216	\$6,395,928	\$15,822,915
Consortium/Contractual Cost	\$1,098,977	\$280,000	\$50,560	\$50,560	\$101,120	\$0	\$155,231	\$0	\$0	\$0	\$1,736,448
<b>Total Direct Costs</b>	<b>\$5,227,577</b>	<b>\$808,310</b>	<b>\$318,023</b>	<b>\$287,182</b>	<b>\$259,492</b>	<b>\$600,613</b>	<b>\$181,157</b>	<b>\$3,863,216</b>	<b>\$3,863,216</b>	<b>\$6,395,928</b>	<b>\$21,804,714</b>
Indirect Costs	\$1,283,261	\$141,640	\$105,227	\$76,068	\$60,508	\$99,387	\$18,843	\$1,136,784	\$1,136,784	\$1,136,784	\$5,195,286
<b>Total Approved Budget</b>	<b>\$6,510,838</b>	<b>\$949,950</b>	<b>\$423,250</b>	<b>\$363,250</b>	<b>\$320,000</b>	<b>\$700,000</b>	<b>\$200,000</b>	<b>\$5,000,000</b>	<b>\$5,000,000</b>	<b>\$7,532,712</b>	<b>\$27,000,000</b>

**COUNTRY BREAKDOWN OF AVAILABLE COMPONENT**

Object Class Breakdown	HQ	Cambodia	Kenya	Malawi	Namibia	Uganda	Vietnam	Zambia
Salary and Wages	\$ 1,662,527	\$ 17,250	\$ 79,830	\$ -	\$ 123,000	\$ 45,750	\$ 61,250	
Fringe Benefits	\$ 755,438	\$ 3,496	\$ 19,958	\$ -	\$ 30,750	\$ 11,437	\$ -	
Travel	\$ 158,567	\$ 2,567	\$ 21,265	\$ 23,440	\$ 5,840	\$ 6,420	\$ 10,590	
Equipment		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Supplies	\$ 29,991	\$ 23,750	\$ 12,250	\$ -	\$ 2,000	\$ 2,250	\$ 77,588	
Contractual	\$ 601,090	\$ -	\$ -	\$ 97,887	\$ -	\$ -	\$ -	\$ 400,000
Construction		\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
Other	\$ 859,423	\$ 2,388	\$ 25,069		\$ 36,197	\$ 13,149	\$ 5,170	
<b>Total Direct Charges</b>	<b>\$ 4,067,036</b>	<b>\$ 49,451</b>	<b>\$ 158,372</b>	<b>\$ 121,327</b>	<b>\$ 197,787</b>	<b>\$ 79,006</b>	<b>\$ 154,598</b>	<b>\$ 400,000</b>
Indirect Costs	\$ 1,132,964	\$ 549	\$ 41,628	\$ 8,673	\$ 52,213	\$ 20,994	\$ 26,240	
<b>Grand Total</b>	<b>\$ 5,200,000</b>	<b>\$ 50,000</b>	<b>\$ 200,000</b>	<b>\$ 130,000</b>	<b>\$ 250,000</b>	<b>\$ 100,000</b>	<b>\$ 180,838</b>	<b>\$ 400,000</b>

# Continuation Application Technical Review Form

## CDC Country Offices:

To accommodate the changing extramural landscape and provide a better planning tool, PBEMB has made changes to the Technical Review form. Below please find definitions that explain the fields that have been revised and/ or changed. Please contact your PBEMB CoAg Specialist for any additional questions or assistance with this or other forms.

## Definitions for the Technical Review Form

If the application requests funding from separate sources, please indicate the recommended funding level for each funding source. For example, if an application requests continuation and carryover funds, please list the funding levels separately.

	<b>Recipient</b>	Previously referred to as “grantee”, this is the new term that HHS is officially using for our partners and it is reflected throughout this form.
<b>Page 2:</b> General CoAg Information	<b>Object Class Code</b>	For non-research awards, use 41.51 For research awards, use 41.41
	<b>CFDA Number</b>	Catalog of Federal Domestic Assistance Number: 93.067 (HIV) 93.947 (TB)
	<b>Amount Requested By Recipient:</b>	Dollar amount the recipient requested in their application based on the solicitation
	<b>(a.) Approved Budget Period Ceiling</b> <i>Add (b.) + (c.) + (d.):</i>	Approved ceiling amount for entire current budget period (available + future funding + offset). This does not include carryover funding.  This amount should include the currently available amount and is normally equal to or less than the amount requested by the recipient. If you intend to approve more than the recipient has requested, a revised budget will be required.
<b>Page 2:</b> Funding Information	<b>(b.) Available Funding</b>	Currently available funds that the Country or HQ Branch will award for this action. This amount CANNOT exceed the budget period ceiling.
	<b>(c.) Offset</b>	These funds have not been spent by the recipient and are deducted from the amount of new funding awarded to the recipient. Recipients must be aware of the plan to use offset before it is applied to their budget.
	<b>(d.) Future Funding Amount</b> <i>Subtract (a.) - (b.) - (c.):</i>	Amount of funding remaining in the budget period ceiling to be awarded, dependent on the availability of funds and/or performance.
	<b>(e.) Total Approved Budget for this Action</b> <i>Add (b.) + (c.):</i>	The total budget that the recipient will receive for this action, which includes the available funding and offset.
	<b>Applicable Funding Components</b>	The components approved under the current action based on the recipient’s SF424 Section B component funding request.
<b>Page 2:</b> CAN Information	<b>Funding Source</b>	For all non-COP funding being included on this action, please be sure to specify the funding source.

# Continuation Application Technical Review Form

## GENERAL COAG INFORMATION

<b>Type of Action under Review:</b> <i>Check all that apply</i> <input checked="" type="checkbox"/> Year <u>2</u> Continuation, including: <input type="checkbox"/> Carryover <input type="checkbox"/> Offset <input type="checkbox"/> Neither, new funding only	<b>Country or HQ Branch:</b>	Multiple
	<b>Recipient:</b>	UCSF
	<b>NOFO #:</b>	GH19-1942
	<b>CoAg Award #:</b>	GH002170
	<b>Object Class Code:</b>	<input checked="" type="checkbox"/> 41.51 <input type="checkbox"/> 41.41
	<b>CFDA Number:</b>	<input checked="" type="checkbox"/> 93.067 <input type="checkbox"/> 93.947
	<b>Amount Requested by Recipient:</b>	<b>\$ 27,000,000.00</b>

## FUNDING INFORMATION

	Amount	
<b>(a.)</b> Approved Budget Period Ceiling <i>Add (b.) + (c.) + (d.):</i>	\$ 27,000,000	
<b>(b.)</b> Available New Funding	\$ 6,510,838	<b>Applicable Funding Components:</b>
<b>(c.)</b> Offset:	\$	<b>Identify Budget Year 01-04 of which offset funds are from:</b>
<b>(d.)</b> Future Funding Amount <i>Subtract (a.) - (b.) - (c.):</i>	\$ 20,600,000	<b>Applicable Funding Components:</b>

<b>(e.) Total Approved Budget for this Action</b> <i>Add (b.) + (c.):</i>	<b>\$ 6,510,838</b>
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## CAN INFORMATION

Financial Account (CAN)	Amount	Funding Source (COP, Central Initiative, HOP/TLS, non-DGHT). Please specify for non-COP!
9390BL0	\$ 50,000	Cambodia
9390BY2	\$ 5,200,000	HQ
93909A1	\$ 200,000	Kenya
9390BHJ	\$ 130,000	Malawi
	\$	

## Approval of Application

**Approve Application (Please answer the questions below)**

**1. Are there any special conditions for the award, including budgetary restrictions?**  Yes  No

If yes, please indicate conditions or restrictions in the budgetary and/or recommendations section.

**2. Is a response to weaknesses by the recipient required to be in the Notice of Award?**  Yes  No

**3. Should a copy of the Technical Review be included in the Notice of Award?**  Yes  No

(NOTE: This should be YES for all continuation applications.)

**DGHT/PEPFAR FUNDING ONLY:**

**COP/ HOP MECHANISM ID #:** 81074, 81712, 81751

**Are these activities approved in the COP/HOP?**  Yes  No

If no, PBEMB will hold the award pending the country's submission of an email approval from the OGAC Chair or PPM or receipt of final approved HOP.

**Are these activities receiving funds outside the COP (i.e., Central Initiative, HOP/TLS)?**  Yes  No

If yes, please identify the project here: HOP

**Emily Stong**

Print Name of Project Officer

Signature of Project Officer

Date

**Valerie Naglich**

Print Name of Country Director/HQ  
Branch Chief or Designee

Signature of Country Director/HQ  
Branch Chief or Designee

Date

### **COP 2019 BUDGET INFORMATION (should match COP19 FAST)**

In the table below please include the budget details for COP19 for this mechanism. This information should match what is in the FAST, regardless of what is being awarded now or what will be funded in future components. Only include those central initiative funds that were included in the COP19 FAST submission.

<b>(A) Current New Funding</b>	
<b>(B) Applied Pipeline Amount</b>	
<b>Total Planning Level COP 19 (A+B) and (a+b+c+d+e+f)</b>	
<b>(a) Care &amp; Treatment (C&amp;T)</b>	
<b>(b) Prevention (PREV)</b>	
<b>(c) Testing (HTS)</b>	
<b>(d) Social Economic (SE)</b>	
<b>(e) Above-Site Program (ASP)</b>	
<b>(f) Program Management (PM)</b>	
<b>Other Central Initiative Funding (included in COP19 FAST)</b>	

**IMPORTANT:** As a reminder, during the COP Implementation Period (01 October to 30 September annually), it is expected that total country COP-related outlays over this period will not exceed the total funding level stated with the signed Approval Memo. Consequently, each individual implementing partner outlay over this period should not exceed the amounts programmed to the partner as approved and documented in the COP. Partner budgets may include funding sources that are additive to COP funds (central initiative funding noted above). These other funding sources are not subject to the same outlay restrictions.

## **COP19 Target Information (compare to FAST/Data Pack)**

In the space below please include all relevant targets for COP19 for this mechanism. Performance on the targets listed below will be tracked in COP19 and if achievement is not on track, DGHT will work with OGS to initiate corrective actions, if necessary.

## Review of Application

OGAC has provided an optional Key Activities Summary template that should be used if specific references to key activities are not clear in the work plan. This template is NOT required, but you are advised to reference page numbers and specifically note strengths, weaknesses, and recommendations for those key activities here.

### Strengths of Application:

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

**Cambodia:** Application demonstrates that partner has expertise and experience implementing the recency assay.

**Kenya:** The application lays out many of the key approaches required for implementation of recency surveillance in Kenya. In particular, on page 32, the application describes the various important steps required for the collection of high quality data and making that data available for public health decision-making. It is helpful to explicitly include the role for the development and implementation of continuous quality improvement.

The application also positively lays out the need to work with MOH officials to interpret and strategize on the use of recency surveillance data, and foresees the role of UCSF in ensuring complete and accurate reporting of these new indicators to the MER.

### **Malawi**

- Planned monthly quality improvement visits to each site and QI dashboards
- Planned training for MOH officials on use of data - this will support MOH engagement and ownership of the recency surveillance activity
- Support for development of response strategy document for MOH - this is a priority for MOH and given that this is a new surveillance system, they will need a lot of support in terms of response
- Plans to develop dashboards which show real-time recency data

**Weaknesses of Application:**

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

**Overall**

- **Cross-cutting TA (Activity 10 & 12):** Add activity: organizing workshops, in partnership with ICAP and CDC, for stakeholders in countries supported by UCSF, including data analysis and use workshop, report-writing/manuscript-writing workshops, and regional workshops for country sharing.
- **Country TA (Activities 1-9):** In addition to data reviews and building capacity of MOH officials on data use, we would like for UCSF to provide TA to MOHs to assist with production of semi-annual reports of recent infection surveillance. Please add as indicator/output “semi-annual reports from MOH” for countries that will have collected 6 months of recency data by year 2 of the award (e.g., Malawi, Namibia, Uganda, Zambia, Kenya, Vietnam). After the first semi-annual report in a country, annual reports will be expected.
- **Sub-contract to SFDPH:** Please provide more detail for activities and outputs associated with the SFDPH sub-contract referenced on pg. 72 (Willi McFarland for 35% salary for high level technical assistance on surveillance strategy for HIV recency).

**Cambodia:**

The description of the proposed activities with accompanying budget are limited. But based on the listed activities, **we request the following:**

1. The amount of HIV Rapid Tests for Recent Infection (RTRI) be increased to 5000 kits to cover approximately 4000 newly identified PLHIV cases annually with an additional 1000 kits to allow for training, quality control and wastage.
2. UCSF to develop the protocol to define use of the recency assay. UCSF will need to respond promptly to comments from all relevant ethics committees to get the protocol approved. CDC will provide detail on The Cambodian context for the protocol and will provide the translation into Khmer.
3. UCSF to develop study tools and materials, including questionnaires, consent forms, checklists, and Standard Operating Procedures (SOPs) for the implementation of the recency assay. CDC will provide detail on the Cambodian context for the protocol and will provide the translation into Khmer.
4. Along with CDC and the Cambodian Ministry of Health (MoH) UCSF should co-facilitate field team trainings on laboratory, data, and HTS procedures including:
  - a. Dissemination workshop for all MoH key players including national programs, provincial and district program directors, managers, coordinators and NGOs partners to orientate the use of recent infection surveillance.
  - b. Training of trainers (TOT) for national and provincial level staff members
  - c. Note, through a separate Cooperative Agreement with the National Center for HIV Dermatology and STD (NCHADS), the MoH conduct stepdown training for field staff at the site level in conjunction with trainers who were trained through TOT. NCHADS will also provide regular monitoring to track the quality of service provision and data, and will print the tools and other materials.
5. UCSF to conduct a monitoring and evaluation visit at the end of the first year to assess success of recency assay implementation and areas for improvement.
6. UCSF to plan to attend periodic partner meetings during the period of implementation by conference call although the frequency will need to be determined (and may not be bi-weekly as noted in the proposal).



**Recommended Actions for Weaknesses of Application:**

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

**Overall**

- The SOW should include, "procurement, as needed, for all PEPFAR-supported countries working on Recency."
- **Cross-cutting TA (Activity 10 & 12):** Add activity: organizing workshops, in partnership with ICAP and CDC, for stakeholders in countries supported by UCSF, including data analysis and use workshop, report-writing/manuscript-writing workshops, and regional workshops for country sharing.
- **Country TA (Activities 1-9):** In addition to data reviews and building capacity of MOH officials on data use, we would like for UCSF to provide TA to MOHs to assist with production of semi-annual reports of recent infection surveillance. Please add as indicator/output "semi-annual reports from MOH" for countries that will have collected 6 months of recency data by year 2 of the award (e.g., Malawi, Namibia, Uganda, Zambia, Kenya, Vietnam). After the first semi-annual report in a country, annual reports will be expected.
- **Sub-contract to SFDPH:** Please provide more detail for activities and outputs associated with the SFDPH sub-contract referenced on pg. 72 (Willi McFarland for 35% salary for high level technical assistance on surveillance strategy for HIV recency).

Adjust YR2 EPMP template to reflect updated SOW, and submit quarterly.

Work with CDC to obtain CDC logo permission, and include on eLearning Hub and materials. Ensure proper attribution on site.

**Cambodia:** Please revise budget and narrative application in line with comments in the 'Weaknesses' section.

Additionally;

- Increase the number trips and decrease the duration of each trip. Suggest 3-4 trips of 6-7 days duration at the beginning of the trainings, after 6 months, and after 1 year for a monitoring and evaluation visit. The MOH will not have a "Kick-Off meeting" given the recency assay has been in limited use already, so please consider focusing these trips on working level objectives. Also, CDC Cambodia cannot support \$8,000 for one round trip plane ticket. Please decrease the amount or remove.
- Because Cambodia does not report MER targets and the MoH will manage the data collection and reporting, reduce the proportion of time for the Data Systems Analyst or replace with salary and benefits support for staff to help with training and development of tools (e.g. protocol, SOPs, and job aids).
- Increase the budget for test kit procurement to approximately \$25K given the need for 5,000 kits.

**Kenya**

- For Activity 3, p 32, please describe that UCSF will work with the county team to support the roll out of recent infection surveillance in all 47 counties in Kenya, per OGAC's expectation that recency surveillance will be a nation-wide tool. It is reasonable to assume that the saturation of counties in terms of number of facilities involved in recency surveillance will differ markedly.
- For Activity 3, p 32, under specific activities, please omit the procurement and shipping of rapid tests for recent infection from the description of activities and describe alternate activities required for roll-out of recency surveillance, such as training of facility-level staff who will recruit, counsel, consent and collect information from recency surveillance participants, and facility-level laboratory staff who will collect the specimen and package it to the hub lab for further analysis, as well as development of Standards of Practice for these activities.
- For Activity 3, p 32, under specific activities please include hub laboratories in the description of CQI activities, as this is where the RTRI activities will be conducted.

## Review of Annual Progress Report (APR)

### **Strengths of Annual Progress Report:**

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

**Weaknesses of Annual Progress Report:**

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

**Recommended Actions for Weaknesses of Annual Progress Report:**

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

## Programmatic Budgetary Comments

Note: Programmatic budget restrictions, concerns, and comments should be addressed prior to the award being made. This will take place during the OGS Budget negotiations.

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

This box signifies the Project Officer’s official review of the applicant’s proposed budget. This check box applies to all awards with new funding. PBEMB will consider a Technical Review to be incomplete if this box is left unchecked.

The recommended budget should be outlined in the GMM Budget Markup Spreadsheet for funding actions.

I certify that I support the recipient’s proposed categorical 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 categorical budget.

- If additional space is needed to justify the recommended funding amount, 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.**
- **REMEMBER:** 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 Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
<b>Total</b>	<b>\$0</b>

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)

## Potential Human Subject Data Collection Activities (DGHT ONLY)

*This section highlights the Country Office’s technical review and recommendations for potential human subject/data collection activities. CDC DGHT Science Integrity Branch (SIB) will consider these comments/recommendations when reviewing this application. The only human subjects data collection restrictions that will be included in the NGA are those listed in the official memo from the DGHT Science Integrity Branch (SIB).*

**Use the checkboxes below to indicate whether the application includes any potential data collection activities involving human subjects. These activities can include, but are not limited to, program evaluation, interviews, focus groups, surveys, assessments, surveillance, review/extraction of data from patient records, and lab testing of specimens beyond routine clinical management.**

- Application **includes** plans for potential data collection activities involving human subjects
  - Do any of these activities have the necessary CDC protocol approval(s)?
    - No** Note: Funds for implementing potential data collection activities that may result in a public report should be restricted until all necessary institutional protocol approvals have been obtained.<sup>1</sup> Please specify the restrictions in **Table I below**.
    - Yes** Note: Activities with CDC protocol approval should not be restricted. Provide details in **Table II below** and include an electronic copy of the CDC protocol approval related to the data collection activity listed in the application when returning this form to PBEMB.
- Application **does not include** plans for potential data collection activities involving human subjects. Note: No further information is required.

**Table I. Proposed Data Collection Activities Potentially Involving Human Subjects**

Activity Description (Type of Activity/Study Population)	Page(s)	Proposed Restriction Amount <sup>2</sup> <i>(If activity is for programmatic purposes and will not result in a public report, please list \$0)</i>	Budget Category <i>(i.e., Salary, Travel, Contracts, Supplies, etc.)</i>	Comments
1.		\$		
2.		\$		
3.		\$		
4.		\$		
5.		\$		
6.		\$		
7.		\$		
8.		\$		
9.		\$		
10.		\$		

**Table II. Human Subjects Data Collection Activities Already Approved by CDC**

A copy of the CDC protocol approval (e.g., CGH Project Determination form signed by the CGH Human Research Protection Coordinator, a copy of CDC IRB approval memo) must be included when this technical review is returned to PBEMB. If no CDC approval document is provided, funds for implementing the activity will be restricted.

Activity Description (Type of Activity/Study Population)	Page(s)	Attached CDC Protocol Approval	Comments
1.			
2.			
3			
4.			
5.			
6.			
7.			
8.			
9.			
10.			

Recipients engaged in human subjects research should be notified that they may need to apply to the U.S. Office for Human Research Protections for a Federal-Wide Assurance (FWA). An FWA is a pledge by an institution that they will adhere to ethical principles when engaged in research activities involving human subjects.

<sup>1</sup> If the activity is strictly for programmatic purposes and will not result in a public report, funds should not be restricted. Provide an activity description and page number, but list \$0 in the Proposed Restriction Amount column.

<sup>2</sup> Funds for preparatory activities (e.g., protocol development, training, equipment, reagents, and site preparation) may be provided prior to protocol approval. To facilitate the availability of preparatory funding, specify a restriction only on funds associated with implementation, and make a note of the preparatory budget in the comments column.

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Signature of Country ADS or ADS POC

# Continuation Application Technical Review Form

## CDC Country Offices:

To accommodate the changing extramural landscape and provide a better planning tool, PBEMB has made changes to the Technical Review form. Below please find definitions that explain the fields that have been revised and/ or changed. Please contact your PBEMB CoAg Specialist for any additional questions or assistance with this or other forms.

## Definitions for the Technical Review Form

If the application requests funding from separate sources, please indicate the recommended funding level for each funding source. For example, if an application requests continuation and carryover funds, please list the funding levels separately.

	<b>Recipient</b>	Previously referred to as “grantee”, this is the new term that HHS is officially using for our partners and it is reflected throughout this form.
<b>Page 2:</b> General CoAg Information	<b>Object Class Code</b>	For non-research awards, use 41.51 For research awards, use 41.41
	<b>CFDA Number</b>	Catalog of Federal Domestic Assistance Number: 93.067 (HIV) 93.947 (TB)
	<b>Amount Requested By Recipient:</b>	Dollar amount the recipient requested in their application based on the solicitation
	<b>(a.) Approved Budget Period Ceiling</b> <i>Add (b.) + (c.) + (d.):</i>	Approved ceiling amount for entire current budget period (available + future funding + offset). This does not include carryover funding.  This amount should include the currently available amount and is normally equal to or less than the amount requested by the recipient. If you intend to approve more than the recipient has requested, a revised budget will be required.
<b>Page 2:</b> Funding Information	<b>(b.) Available Funding</b>	Currently available funds that the Country or HQ Branch will award for this action. This amount CANNOT exceed the budget period ceiling.
	<b>(c.) Offset</b>	These funds have not been spent by the recipient and are deducted from the amount of new funding awarded to the recipient. Recipients must be aware of the plan to use offset before it is applied to their budget.
	<b>(d.) Future Funding Amount</b> <i>Subtract (a.) - (b.) - (c.):</i>	Amount of funding remaining in the budget period ceiling to be awarded, dependent on the availability of funds and/or performance.
	<b>(e.) Total Approved Budget for this Action</b> <i>Add (b.) + (c.):</i>	The total budget that the recipient will receive for this action, which includes the available funding and offset.
	<b>Applicable Funding Components</b>	The components approved under the current action based on the recipient’s SF424 Section B component funding request.
<b>Page 2:</b> CAN Information	<b>Funding Source</b>	For all non-COP funding being included on this action, please be sure to specify the funding source.



# Continuation Application Technical Review Form

## GENERAL COAG INFORMATION

<b>Type of Action under Review:</b> <i>Check all that apply</i> <input checked="" type="checkbox"/> Year <u>2</u> Continuation, including: <input type="checkbox"/> Carryover <input type="checkbox"/> Offset <input type="checkbox"/> Neither, new funding only	<b>Country or HQ Branch:</b>	Multiple
	<b>Recipient:</b>	UCSF
	<b>NOFO #:</b>	GH19-1942
	<b>CoAg Award #:</b>	GH002170
	<b>Object Class Code:</b>	<input checked="" type="checkbox"/> 41.51 <input type="checkbox"/> 41.41
	<b>CFDA Number:</b>	<input checked="" type="checkbox"/> 93.067 <input type="checkbox"/> 93.947
	<b>Amount Requested by Recipient:</b>	<b>\$ 27,000,000.00</b>

## FUNDING INFORMATION

	Amount	
<b>(a.)</b> Approved Budget Period Ceiling <i>Add (b.) + (c.) + (d.):</i>	<b>\$ 27,000,000</b>	
<b>(b.)</b> Available New Funding	<b>\$ 6,510,838</b>	<b>Applicable Funding Components:</b>
<b>(c.)</b> Offset:	\$	<b>Identify Budget Year 01-04 of which offset funds are from:</b>
<b>(d.)</b> Future Funding Amount <i>Subtract (a.) - (b.) - (c.):</i>	<b>\$ 20,600,000</b>	<b>Applicable Funding Components:</b>

<b>(e.) Total Approved Budget for this Action</b> <i>Add (b.) + (c.):</i>	<b>\$ 6,510,838</b>
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## CAN INFORMATION

Financial Account (CAN)	Amount	Funding Source (COP, Central Initiative, HOP/TLS, non-DGHT). Please specify for non-COP!
9390BHM	\$ 250,000	Namibia
9390BEF	\$ 100,000	Uganda
9390BHZ	\$ 180,838	Vietnam
9390BJ0	\$ 400,000	Zambia
	\$	

## Approval of Application

**Approve Application (Please answer the questions below)**

**1. Are there any special conditions for the award, including budgetary restrictions?**  Yes  No

If yes, please indicate conditions or restrictions in the budgetary and/or recommendations section.

**2. Is a response to weaknesses by the recipient required to be in the Notice of Award?**  Yes  No

**3. Should a copy of the Technical Review be included in the Notice of Award?**  Yes  No

(NOTE: This should be YES for all continuation applications.)

**DGHT/PEPFAR FUNDING ONLY:**

**COP/ HOP MECHANISM ID #:** 82035, 82066, 81976, 81824 \_\_\_\_\_

**Are these activities approved in the COP/HOP?**  Yes  No

If no, PBEMB will hold the award pending the country's submission of an email approval from the OGAC Chair or PPM or receipt of final approved HOP.

**Are these activities receiving funds outside the COP (i.e., Central Initiative, HOP/TLS)?**  Yes  No

If yes, please identify the project here: HOP \_\_\_\_\_

**Emily Stong**

\_\_\_\_\_  
Print Name of Project Officer

\_\_\_\_\_  
Signature of Project Officer

\_\_\_\_\_  
Date

**Valerie Naglich**

\_\_\_\_\_  
Print Name of Country Director/HQ  
Branch Chief or Designee

\_\_\_\_\_  
Signature of Country Director/HQ  
Branch Chief or Designee

\_\_\_\_\_  
Date

### **COP 2019 BUDGET INFORMATION (should match COP19 FAST)**

In the table below please include the budget details for COP19 for this mechanism. This information should match what is in the FAST, regardless of what is being awarded now or what will be funded in future components. Only include those central initiative funds that were included in the COP19 FAST submission.

<b>(A) Current New Funding</b>	
<b>(B) Applied Pipeline Amount</b>	
<b>Total Planning Level COP 19 (A+B) and (a+b+c+d+e+f)</b>	
<b>(a) Care &amp; Treatment (C&amp;T)</b>	
<b>(b) Prevention (PREV)</b>	
<b>(c) Testing (HTS)</b>	
<b>(d) Social Economic (SE)</b>	
<b>(e) Above-Site Program (ASP)</b>	
<b>(f) Program Management (PM)</b>	
<b>Other Central Initiative Funding (included in COP19 FAST)</b>	

**IMPORTANT:** As a reminder, during the COP Implementation Period (01 October to 30 September annually), it is expected that total country COP-related outlays over this period will not exceed the total funding level stated with the signed Approval Memo. Consequently, each individual implementing partner outlay over this period should not exceed the amounts programmed to the partner as approved and documented in the COP. Partner budgets may include funding sources that are additive to COP funds (central initiative funding noted above). These other funding sources are not subject to the same outlay restrictions.

## **COP19 Target Information (compare to FAST/Data Pack)**

In the space below please include all relevant targets for COP19 for this mechanism. Performance on the targets listed below will be tracked in COP19 and if achievement is not on track, DGHT will work with OGS to initiate corrective actions, if necessary.

## Review of Application

OGAC has provided an optional Key Activities Summary template that should be used if specific references to key activities are not clear in the work plan. This template is NOT required, but you are advised to reference page numbers and specifically note strengths, weaknesses, and recommendations for those key activities here.

### Strengths of Application:

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

#### Namibia

- Objectives reflect good understanding of role and importance of recency testing "to characterize areas of high transmission and allow for focused prevention efforts in those areas", and the importance of real-time data availability. (page 35/173)
- The Partner understands that activities will work with various partners (MoHSS, NIP, CDC) to ensure successful rollout of the surveillance system. (page 35/173)
- The Partner plans to support the ministry in areas of continuous quality improvement (CQI), data capture, data dashboards, training of MoHSS to use and interpret data, quarterly reporting of MER indicators. (page 35/173)
- Partner has a strong plan for data quality, data review, dashboards and real-time data use for public health action. (page 24/173)

#### Thailand

- This application is part of an existing UCSF Co-Ag with CDC HQ to provide technical assistance to in-country implementation of the recency assay. The proposal is a supplemental activity to support the expansion of recency assay use to Thailand and Lao PDR.

#### Uganda

- The application clearly articulates the scope of technical assistance that the partner will provide to other implementing partners and MOH, including supporting critical personnel positions that would ensure the efficient implementation of the project.

#### Vietnam

- Clear focus with supporting Recency implementation in Vietnam.

**Weaknesses of Application:***(Please use bullets and reference your comments with page numbers from the application)***Namibia**

- Partner states that rollout will be in 5 districts in some places and nationwide in other places. Starting in October 2019 Recency rollout will be nationwide with the goal of offering recency testing for all newly identified positive clients. (page 35/173)
- There is no mention of technical assistance for new protocol development or revision of protocol if needed for nationwide rollout. (page 24/173)
- There is no mention about how this Recency activity will contribute to development of case-based surveillance in Namibia.
- There is a lack of clarity in how this award will work together with the HQ funding so as to synergize and not duplicate.

**Thailand**

- The proposed contractor, TRCARC, is a one of PEPFAR supported partners who will receive training, introduce and implement recency testing at their supported sites in Thailand. It would not be possible for them to serve as a TA provider to themselves. Would expect that some of these services be incorporated into existing quality improvement activities instead of a parallel process.
- Propose to hire recency advisor and two quality improvement officer as subcontract. Would be preferable if could determine how to use existing CDC technical staff, local university or government institutional staff since this would be more sustainable and assist with integration into routine programmatic services.
- There is no budget for capacity building of local staff at sites. Please provide more detailed information on TA plans to build capacity of local staff in the country to implement and accomplished this new intervention.
- There is no mention of translation to Thai of training materials, SOP's, documents and job aids
- UCSF will be assisting local partners with the quarterly reporting of the MER indicators.

**Uganda**

- No mention of TA support to Uganda MOH for development /adaptation of tools, SOPs and training materials
- Recent HIV infection data will be captured directly in the Uganda EMR instance which is already developed.
- Activity 4.4 needs to be rephrased to include as suggested below.

**Vietnam**

- The CDC Vietnam team, Vietnam Authority for AIDS Control (VAAC) have not worked with the Hanoi University of Public Health (HUPH) on recency implementation, so it will take a lot of time for HUPH for administration paper work with the Government of Vietnam before the project can be fully implemented.
- YR2 Budget, page 3: The total budget for local salary is 168,492\$ (67.4% total budget), and 30,000 for travel. The proposal support for the whole team (9 members) and it is not necessary since Vietnam already implemented recency at HIV Testing and Counseling sites and sentinel surveillance with different partners: VAAC is taking the lead, Pasteur Institute (PI) and National Hygiene and Epidemiology (NIHE) provide technical assistance.
- YR2 Application, page 25, some activities are not applicable such as:

**Recommended Actions for Weaknesses of Application:***(Please use bullets and reference your comments with page numbers from the application)***Namibia**

- Partner should plan to provide assistance in the training and rollout of Recency nationwide in collaboration with MoHSS and NIP.
- Partner should plan on providing technical assistance for new protocol writing or protocol revision if needed for nationwide rollout.
- Partner should plan on contributing substantially to the development of case-based surveillance in Namibia through these Recency activities.
- There should be a clear plan how this plan and budget fits in with the HQ mechanism funding.
- Ensure that positions are not duplicated within in-country and HQ mechanisms.
- There are not positions to cover the public health response to recency testing.
- There is not enough money for in-country training for national rollout.
- 2 full-time data clerks should be budgeted to be able to enter in national data in real time

**Thailand**

- Identify new local subcontractor who won't also won't be an implementing site and can assist with sustainability. Suggest university, government institute, or one of many foundations of the ministry of Public Health
- Determine how to best incorporate QI activities for recency assay into already existing QI activities at the site
- Translate all English language ILB and other existing recency training materials, documents into Thai/Lao
- Change language to outcomes from "supervision visits completed" to "QI visits completed"
- Dashboard system will need to be able to work with existing facility HMIS/LIS; there should not be a separate data collection system develop.

**Uganda**

- Uganda is just starting to implement HIV recency testing as a new tool for HIV surveillance. The application should articulate support to the Uganda MOH for the development/ adaptation of tools, SOPs and training materials for recency roll out.
- Activity 4.4: Recent HIV infection data will be captured directly in the Uganda EMR instance which is already developed. UCSF TA should be directed towards roll out of Uganda EMR to other facilities and training of data capture officers. TA should further support the development of systems focusing on platforms that support service delivery areas with infrastructural challenges i.e facilities or communities. Prioritized solutions should be premised on android technology and compatible with existing open MRS based systems.
- Related to the above, not all facilities may have a functional EMR system. Some of the TA support should be directed towards supporting facilities to institute a paper-based case reporting tool that would eventually be entered into the EMR system at a higher level.
- Some TA support will be needed at the national level to build capacity of national level staff for surveillance of recent HIV infections in the context of case based surveillance

**Vietnam**

## Review of Annual Progress Report (APR)

### **Strengths of Annual Progress Report:**

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



**Weaknesses of Annual Progress Report:**

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

**Recommended Actions for Weaknesses of Annual Progress Report:**

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

## Programmatic Budgetary Comments

Note: Programmatic budget restrictions, concerns, and comments should be addressed prior to the award being made. This will take place during the OGS Budget negotiations.

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

This box signifies the Project Officer’s official review of the applicant’s proposed budget. This check box applies to all awards with new funding. PBEMB will consider a Technical Review to be incomplete if this box is left unchecked.

The recommended budget should be outlined in the GMM Budget Markup Spreadsheet for funding actions.

I certify that I support the recipient’s proposed categorical 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 categorical budget.

- If additional space is needed to justify the recommended funding amount, 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)*

Revise Vietnam budget to complete \$337,000 worth of activities

### 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.**
- **REMEMBER:** 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 Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
<b>Total</b>	<b>\$0</b>

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)*

## Potential Human Subject Data Collection Activities (DGHT ONLY)

This section highlights the Country Office’s technical review and recommendations for potential human subject/data collection activities. CDC DGHT Science Integrity Branch (SIB) will consider these comments/recommendations when reviewing this application. The only human subjects data collection restrictions that will be included in the NGA are those listed in the official memo from the DGHT Science Integrity Branch (SIB).

**Use the checkboxes below to indicate whether the application includes any potential data collection activities involving human subjects. These activities can include, but are not limited to, program evaluation, interviews, focus groups, surveys, assessments, surveillance, review/extraction of data from patient records, and lab testing of specimens beyond routine clinical management.**

- Application **includes** plans for potential data collection activities involving human subjects
  - Do any of these activities have the necessary CDC protocol approval(s)?
    - No** Note: Funds for implementing potential data collection activities that may result in a public report should be restricted until all necessary institutional protocol approvals have been obtained.<sup>1</sup> Please specify the restrictions in **Table I below**.
    - Yes** Note: Activities with CDC protocol approval should not be restricted. Provide details in **Table II below** and include an electronic copy of the CDC protocol approval related to the data collection activity listed in the application when returning this form to PBEMB.
- Application **does not include** plans for potential data collection activities involving human subjects. Note: No further information is required.

**Table I. Proposed Data Collection Activities Potentially Involving Human Subjects**

Activity Description (Type of Activity/Study Population)	Page(s)	Proposed Restriction Amount <sup>2</sup> <i>(If activity is for programmatic purposes and will not result in a public report, please list \$0)</i>	Budget Category <i>(i.e., Salary, Travel, Contracts, Supplies, etc.)</i>	Comments
1.		\$		
2.		\$		
3.		\$		
4.		\$		
5.		\$		
6.		\$		
7.		\$		
8.		\$		
9.		\$		
10.		\$		

**Table II. Human Subjects Data Collection Activities Already Approved by CDC**

A copy of the CDC protocol approval (e.g., CGH Project Determination form signed by the CGH Human Research Protection Coordinator, a copy of CDC IRB approval memo) must be included when this technical review is returned to PBEMB. If no CDC approval document is provided, funds for implementing the activity will be restricted.

Activity Description (Type of Activity/Study Population)	Page(s)	Attached CDC Protocol Approval	Comments
1.			
2.			
3			
4.			
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9.			
10.			

Recipients engaged in human subjects research should be notified that they may need to apply to the U.S. Office for Human Research Protections for a Federal-Wide Assurance (FWA). An FWA is a pledge by an institution that they will adhere to ethical principles when engaged in research activities involving human subjects.

<sup>1</sup> If the activity is strictly for programmatic purposes and will not result in a public report, funds should not be restricted. Provide an activity description and page number, but list \$0 in the Proposed Restriction Amount column.

<sup>2</sup> Funds for preparatory activities (e.g., protocol development, training, equipment, reagents, and site preparation) may be provided prior to protocol approval. To facilitate the availability of preparatory funding, specify a restriction only on funds associated with implementation, and make a note of the preparatory budget in the comments column.

\_\_\_\_\_  
Signature of Country ADS or ADS POC

**FDP Amendment  
Number**

**Pass-Through Entity (PTE)** **Subrecipient**

<input type="text" value="The Regents of the University of California, San Francisco"/>	Entity Name <input type="text" value="City and County of San Francisco"/>
<input type="text" value="CGSubOutTeam@ucsf.edu"/>	Email Address <input type="text" value="sajid.shaikh@sfdph.org"/>
<input type="text" value="George W. Rutherford"/>	Principal Investigator <input type="text" value="William McFarland"/>

Project Title:

PTE Federal Award No: <input type="text" value="5 NU2GGH002170-03-00"/>	Federal Awarding Agency: <input type="text" value="PHS Centers for Disease Control"/>
--	--

<b>Revised Period of Performance:</b> Start Date: <input type="text" value="August 1, 2019"/> End Date: <input type="text" value="Sep 29, 2021"/>	Amount Funded This Action: <input type="text" value="\$ 43,173.00"/>	Subaward No: <input type="text" value="11580sc"/>
--	---	--

Total Amount of Federal Funds Obligated to Date: <input type="text" value="\$ 124,904.00"/>	Cost Share: <input type="radio"/> Yes <input checked="" type="radio"/> No	Subject to FFATA: <input checked="" type="radio"/> Yes <input type="radio"/> No	Automatic Carryover: <input type="radio"/> Yes <input checked="" type="radio"/> No
--	--	--	---

**Amendment(s) to Original Terms and Conditions**  
This Amendment revises the above-referenced Subaward Agreement as follows:


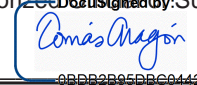
- This is a No Cost Extension. The Period of Performance is hereby extended through:
- to  is hereby added to the Period of Performance, which is revised to be consistent with the Period of Performance Start and End Date above.
- Additional funds in the amount of  are hereby authorized for the current period.
- Carryover in the amount of  is hereby authorized as shown below.
- Other (see below)

NOTE: As of September 30, 2019 the previous subaward 11408sc has changed to a new subaward number 11580sc.

The Scope of Work is modified to include those tasks in Attachment A to this Amendment.

*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:  <input type="text" value="10/9/2020"/> Name: <input type="text" value="Phillip De Biase"/> Date Title: <input type="text" value="Associate Manager, Subcontracts"/>	By an Authorized Official of Subrecipient:  <input type="text" value="10/07/2020"/> Name: <input type="text" value="Tomás Aragón"/> Date Title: <input type="text" value="Director of Population Health Division"/>
---	---

**Tracking with Recency Assays to Control the Epidemic (TRACE)**

**Cooperative Agreement Number: NU2GGH002170**

**University of California, San Francisco (UCSF)**

**Year 3 Budget Period: September 30, 2020 to September 29, 2021**

**SFDPH Subcontract SOW**

We request a total of \$43,173 for a subaward with San Francisco Department of Public Health (SFDPH).

- 1. Name of Contractor:** San Francisco Department of Public Health (SFDPH)
- 2. Period of Performance:** 09/30/2020 to 09/29/2021
- 3. Scope of Work:** In close collaboration with UCSF, SFDPH will provide technical assistance and capacity building for rollout of HIV recency in multiple countries, including Burundi, Cambodia, Kenya, Malawi, Namibia, Thailand/Laos, Uganda, Vietnam, and Zambia.

**San Francisco Department of Public Health Subcontract**  
**Budget Period: 9/30/2020-9/29/2021**  
**Budget Name: UCSF Recency YR3 (COP20) Budget**

<b><u>A. Salaries and Wages</u></b>					<b>(A)</b>	<b>(B)</b>	
<b>Personnel</b>	<b>Position Title</b>	<b>Current Salary</b>	<b>% effort</b>	<b># mos.</b>	<b>Salary</b>	<b>Benefits</b>	<b>Total</b>
McFarland, Willi	Director of Surveillance	\$197,300	15%	12	\$29,595	\$8,953	\$38,548
							\$0
							\$0
<b>Total Personnel</b>			15%		\$29,595	\$8,953	\$38,548
<b>Total Direct Costs</b>							\$38,548
Overhead at 12%							\$4,626
<b>Grand Total</b>							<b>\$43,173</b>



**Tracking with Recency Assays to Control the Epidemic (TRACE)**  
**Cooperative Agreement Number: NU2GGH002170**  
**University of California, San Francisco (UCSF)**  
**Year 3 Budget Period: September 30, 2020 to September 29, 2021**  
**SFDPH Subcontract Budget Justification**

- 1. Name of Contractor:** San Francisco Department of Public Health (SFDPH)
- 2. Period of Performance:** 09/30/2020 to 09/29/2021
- 3. Itemized Budget & Justification:** For SFDPH sub-agreement budget, see UCSF budget. Budget Justification included below.

We request a total of \$43,173 for a subaward with San Francisco Department of Public Health (SFDPH).

**Personnel:**

**Willi, McFarland, *Director of Surveillance***, has several years of experience working on surveillance in general and key populations, in both domestic and international settings. He will provide high-level technical assistance on surveillance strategy for HIV recency. We request 15% (\$29,595) salary support for this position for 12 months.

**Subaward Fringe Benefit and Indirect Cost Rates:**

The fringe benefit rate is calculated as 30.37% of Willi McFarland' salary (\$8,953).

The indirect cost rate is 12% of total direct expenses (\$4,626).

**DEPARTMENT OF HEALTH AND HUMAN SERVICES**  
**Centers for Disease Control and Prevention**  
**CDC Office of Financial Resources**

2939 Brandywine Road  
 Atlanta, GA 30341

**NOTICE OF AWARD**  
 AUTHORIZATION (Legislation/Regulations)  
 301(A)&307PHA42USC241&242&104 22USC151B

<b>1. DATE ISSUED</b> MM/DD/YYYY 08/28/2020		<b>1a. SUPERSEDES AWARD NOTICE</b> dated except that any additions or restrictions previously imposed remain in effect unless specifically rescinded	
<b>2. CFDA NO.</b> 93.067 - Global AIDS			
<b>3. ASSISTANCE TYPE</b> Cooperative Agreement			
<b>4. GRANT NO.</b> 5 NU2GGH002170-03-00 Formerly		<b>5. TYPE OF AWARD</b> Service	
<b>4a. FAIN</b> NU2GGH002170		<b>5a. ACTION TYPE</b> Non-Competing Continuation	
<b>6. PROJECT PERIOD</b> MM/DD/YYYY From 11/01/2018		<b>Through</b> MM/DD/YYYY 09/29/2023	
<b>7. BUDGET PERIOD</b> MM/DD/YYYY From 09/30/2020		<b>Through</b> MM/DD/YYYY 09/29/2021	
<b>8. TITLE OF PROJECT (OR PROGRAM)</b> Recent Infection Surveillance Consortium			

**9a. GRANTEE NAME AND ADDRESS**  
 Regents of the University of California, San Francisco, The  
 3333 California St  
 -DUP2  
 San Francisco, CA 94118-1981

**9b. GRANTEE PROJECT DIRECTOR**  
 Dr. George1147948 Rutherford  
 3333 California Street  
 San Francisco, CA 94118  
 Phone: +1 415 476-5781

**10a. GRANTEE AUTHORIZING OFFICIAL**  
 Lei-Lei Win  
 1855 Folsom St Ste 425  
 San Francisco, CA 94103-4249  
 Phone: 415-987-1540

**10b. FEDERAL PROJECT OFFICER**  
 Ms. Emily Stong  
 12 Corporate Blvd NE  
 Brookhaven, GA 30329-1909  
 Phone: 404.718.8292

**ALL AMOUNTS ARE SHOWN IN USD**

<b>11. APPROVED BUDGET</b> (Excludes Direct Assistance)	
I Financial Assistance from the Federal Awarding Agency Only	
II Total project costs including grant funds and all other financial participation <b>I</b>	
a. Salaries and WageS .....	1,512,577.00
b. Fringe Benefits .....	545,832.00
c. Total Personnel Costs .....	2,058,409.00
d. Equipment .....	0.00
e. Supplies .....	180,864.00
f. Travel .....	360,587.00
g. Construction .....	0.00
h. Other .....	787,361.00
i. Contractual .....	1,091,363.00
j. TOTAL DIRECT COSTS	4,478,584.00
k. INDIRECT COSTS	1,072,200.00
<b>l. TOTAL APPROVED BUDGET</b>	<b>5,550,784.00</b>
m. Federal Share	5,550,784.00
n. Non-Federal Share	0.00

<b>12. AWARD COMPUTATION</b>	
a. Amount of Federal Financial Assistance (from item 11m)	5,550,784.00
b. Less Unobligated Balance From Prior Budget Periods	100,000.00
c. Less Cumulative Prior Award(s) This Budget Period	0.00
<b>d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION</b>	<b>5,450,784.00</b>
<b>13. Total Federal Funds Awarded to Date for Project Period</b>	<b>18,295,622.00</b>
<b>14. RECOMMENDED FUTURE SUPPORT</b> (Subject to the availability of funds and satisfactory progress of the project):	

YEAR	TOTAL DIRECT COSTS	YEAR	TOTAL DIRECT COSTS
a. 4		d. 7	
b. 5		e. 8	
c. 6		f. 9	

**15. PROGRAM INCOME SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES:**

a. DEDUCTION b. ADDITIONAL COSTS c. MATCHING d. OTHER RESEARCH (Add / Deduct Option) e. OTHER (See REMARKS)	<b>b</b>
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**16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE FEDERAL AWARDOING AGENCY 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  
 b. The grant program regulations.  
 c. This award notice including terms and conditions, if any, noted below under REMARKS.  
 d. Federal administrative requirements, cost principles and audit requirements applicable to this grant.

In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

**REMARKS** (Other Terms and Conditions Attached -  Yes  No)

**GRANTS MANAGEMENT OFFICIAL:**

Tajsha LaShore  
 2920 Brandywine Rd  
 Mailstop K75  
 Atlanta, GA 30341-5539  
 Phone: 404.498.5696

<b>17.OBJ CLASS</b> 41.51	<b>18a. VENDOR CODE</b> 1946036493A6	<b>18b. EIN</b> 946036493	<b>19. DUNS</b> 094878337	<b>20. CONG. DIST.</b> 12
<b>FY-ACCOUNT NO.</b>	<b>DOCUMENT NO.</b>	<b>ADMINISTRATIVE CODE</b>	<b>AMT ACTION FIN ASST</b>	<b>APPROPRIATION</b>
21. a. 9-9390BJD	b. 19NU2GGH002170	c. GH	d. \$0.00	e. 75-19-1822-1031-001
22. a. 9-9390BKV	b. 19NU2GGH002170	c. GH	d. \$0.00	e. 75-19-1822-1031-001
23. a. 9-9390A1	b. 19NU2GGH00217019KECO	c. GH	d. \$0.00	e. 75-19-1721-1031-001

## NOTICE OF AWARD (Continuation Sheet)

PAGE 2 of 2

DATE ISSUED  
08/28/2020

GRANT NO. 5 NU2GGH002170-03-00

FY-ACCOUNT NO.	DOCUMENT NO.	ADMINISTRATIVE CODE	AMT ACTION FIN ASST	APPROPRIATION
24.a. 9-9390BEF	b. 19NU2GGH00217019UGCO	c. GH	d. \$0.00	e. 75-1920-0955
25.a. 9-9390BHJ	b. 19NU2GGH00217019MWCO	c. GH	d. \$0.00	e. 75-19-1822-1031-001
26.a. 9-9390BHM	b. 19NU2GGH00217019NACO	c. GH	d. \$0.00	e. 75-19-1822-1031-001
27.a. 9-9390BHZ	b. 19NU2GGH00217019VNCO	c. GH	d. \$0.00	e. 75-19-1822-1031-001
28.a. 9-9390BJ0	b. 19NU2GGH00217019ZACO	c. GH	d. \$0.00	e. 75-19-1822-1031-001
29.a. 9-9390BL0	b. 19NU2GGH00217019ACCO	c. GH	d. \$0.00	e. 75-19-1822-1031-001
30.a. 9-9390BY2	b. 19NU2GGH002170	c. GH	d. \$0.00	e. 75-19-1519-1031-001
31.a. 0-9390BHG	b. 19NU2GGH00217019KECO	c. GH	d. \$0.00	e. 75-19-1822-1031-001
32.a. 0-9390DM2	b. 19NU2GGH00217019MWCO	c. GH	d. \$300,000.00	e. 75-19-1923-1031-001
33.a. 0-9390DM3	b. 19NU2GGH00217019NACO	c. GH	d. \$0.00	e. 75-19-1923-1031-001
34.a. 0-9390DM5	b. 19NU2GGH00217019UGCO	c. GH	d. \$0.00	e. 75-19-1923-1031-001
35.a. 0-9390BL0	b. 19NU2GGH00217019ACCO	c. GH	d. \$50,000.00	e. 75-19-1822-1031-001
36.a. 0-9390DNJ	b. 19NU2GGH00217019KECO	c. GH	d. \$0.00	e. 75-2021-0955
37.a. 0-9390DRU	b. 19NU2GGH00217019ATCO	c. GH	d. \$0.00	e. 75-2021-0955
38.a. 0-9390DMV	b. 19NU2GGH00217019VNCO	c. GH	d. \$137,400.00	e. 75-19-1923-1031-001
39.a. 0-9390DPD	b. 19NU2GGH00217019VNCO	c. GH	d. \$0.00	e. 75-2021-0955
40.a. 0-921ZHUP	b. 19NU2GGH002170	c. GH	d. \$26.00	e. 75-X-0943
41.a. 0-93909EG	b. 19NU2GGH002170	c. GH	d. \$230,000.00	e. 75-19-1620-1031-001
42.a. 0-9390AEB	b. 19NU2GGH002170	c. GH	d. \$1,778,742.00	e. 75-19-1822-1031-001
43.a. 0-9390AQ2	b. 19NU2GGH002170	c. GH	d. \$32.00	e. 75-1820-0943
44.a. 0-9390BJ9	b. 19NU2GGH00217020VNGC	c. GH	d. \$89,600.00	e. 75-19-1822-1031-001
45.a. 0-9390DMH	b. 19NU2GGH002170BUCO	c. GH	d. \$700,000.00	e. 75-19-1923-1031-001
46.a. 0-9390DP9	b. 19NU2GGH00217019UGCO	c. GH	d. \$200,000.00	e. 75-2021-0955
47.a. 0-9390E10	b. 19NU2GGH00217019KECO	c. GH	d. \$1,244,984.00	e. 75-19-1923-1031-001
48.a. 0-9390FKS	b. 19NU2GGH00217019NACO	c. GH	d. \$700,000.00	e. 75-19-2024-1031-001
49.a. 0-9390FKZ	b. 19NU2GGH00217019ZACO	c. GH	d. \$20,000.00	e. 75-19-2024-1031-001

## 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

## AWARD ATTACHMENTS

Regents Of The University Of California, San Francisco, The

5 NU2GGH002170-03-00

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1. terms 3
2. HQ chart
3. budgetary comments Uganda
4. budgetary comments Nambia
5. budgetary comments Kenya
6. budgetay comments Thailand

<b>AWARD INFORMATION</b>
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**Incorporation:** In addition to the federal laws, regulations, policies, and CDC General Terms and Conditions for Non-research awards at <https://www.cdc.gov/grants/federalregulationspolicies/index.html>, the Centers for Disease Control and Prevention (CDC) hereby incorporates Notice of Funding Opportunity (NOFO) number **GH19-1942**, entitled **Public Health Surveillance of Recent HIV Infection and Response**, and application dated June 2, 2020, as may be amended, which are hereby made a part of this Non-research award, hereinafter referred to as the Notice of Award (NoA).

**Approved Funding:** Funding in the amount of **\$ 29,875,476.00** is approved for the **Year 03** budget period, which is **September 30, 2020** through **September 29, 2021**. All future year funding will be based on satisfactory programmatic progress and the availability of funds.

The federal award amount is subject to adjustment based on total allowable costs incurred and/or the value of any third party in-kind contribution when applicable.

Note: Refer to the Payment Information section for Payment Management System (PMS) subaccount information.

**Component/Project Funding:** The NOFO provides for the funding of multiple components under this award. The approved component funding levels for this notice of award are:

<b>NOFO Component</b>	<b>Amount</b>
HOP	\$ 2,008,800
Burundi	\$700,000
Cambodia	\$50,000
Kenya	\$1,244,984
Malawi	\$300,000
Namibia	\$700,000
Thailand OFFSET	\$100,000
Uganda	\$200,000
Vietnam Q1	\$227,000
Zambia	\$20,000

**The following component(s) are approved but unfunded:**

Vietnam Q2-Q4	\$684,495
Kenya Performance	\$248,997
Vietnam Performance	\$100,000
COP Performance Q1	\$291,200
COP Performance Q2	\$1,000,000
COP Performance Q3	\$2,000,000
COP Performance Q4	\$2,000,000
Program Expansion Q1	\$2,000,000
Program Expansion Q2	\$2,000,000
Program Expansion Q3	\$2,000,000

Program Expansion Q4	\$2,000,000
Intensive Effort Q1	\$2,000,000
Intensive Effort Q2	\$2,000,000
Intensive Effort Q3	\$3,000,000
Intensive Effort Q4	\$3,000,000

**Working Capital Method:** Recipients are authorized to utilize a working capital method when drawing down funds under this award. The method authorizes recipients to draw down funds to cover obligations to be reconciled and the funds dispersed within 30 days of the date of the draw down

**Financial Assistance Mechanism:** Cooperative Agreement

**Substantial Involvement by CDC:** This is a cooperative agreement, as defined by the Federal Grant and Cooperative Agreement Act of 1977 (P.L. 95-224, 31 USC 6301 et seq.). CDC will have substantial programmatic involvement after the award is made. Substantial involvement is in addition to all post-award monitoring, technical assistance, and performance reviews undertaken in the normal course of stewardship of federal funds and is not intended to gain stricter controls. CDC will coordinate, facilitate, collaborate and/or intervene to programmatically effectuate performance under this award, and recipients agree to the substantial involvement responsibilities enumerated in the applicable NOFO and incorporated herein and further agree that additional substantial involvement responsibilities, not currently enumerated in the applicable NOFO, may be imposed.

Under a cooperative agreement, CDC is responsible for normal oversight and monitoring activities. Examples of normal oversight and monitoring activities are listed below:

1. Organize an orientation meeting with the recipient for a briefing on applicable U.S. Government, HHS/CDC, and PEPFAR expectations, regulations, and key management requirements, as well as report formats and contents. The orientation could include meetings with staff from HHS agencies and the Office of the U.S. Global AIDS Coordinator and Health Diplomacy (OGAC).
2. Review and approve recipient's annual work plan and detailed budget, as part of the PEPFAR COP review and approval process, managed by OGAC.
3. Review and approve the recipient's monitoring and evaluation plan, including for compliance with the strategic information guidance established by OGAC.
4. Meet on a regular basis with the recipient to assess expenditures in relation to approved work plan and modify plans as necessary.
5. Meet on a quarterly basis with the recipient to assess quarterly technical and financial progress reports and modify plans as necessary.
6. Meet on an annual basis with the recipient to review annual progress report for each U.S. Government Fiscal Year, and to review annual work plans and budgets for the subsequent year, as part of the PEPFAR COP review and approval process, managed by OGAC.
7. Provide technical oversight for all activities under this award.

Above and beyond the normal oversight and monitoring examples, CDC's substantial involvement includes, but is not limited to, the following activities:

1. Involvement in the review and selection of key personnel and/or post-award sub-contractors and/or sub-recipients to be involved in the activities performed under this agreement. This is solely limited to reviewing and making recommendations as necessary to the process used by the recipient to select key personnel and/or post-award sub-contractors and/or sub-recipients to be involved in the activities performed under this agreement, as part of the PEPFAR COP review and approval process, managed by OGAC.
2. Provide technical assistance, as mutually agreed upon, and revise annually in concert with the recipient during validation of the first and subsequent annual work plans. This could include expert technical assistance and targeted training activities in specialized areas, such as strategic information, project management, and confidential counseling and testing.
3. Provide in-country administrative support to help the recipient meet U.S. Government financial and reporting requirements approved by the Office of Management and Budget (OMB).
4. Collaborate with the recipient on designing and implementing the activities listed above, including, but not limited to: the provision of technical assistance to develop program activities, data management and analysis, quality assurance, the presentation and possibly publication of program results and findings, and the management and tracking of finances.
5. Provide technical assistance or advice on any data collections on 10 or more people that are planned or conducted by the recipient. All such data collections-- where CDC staff will be or are approving, directing, conducting, managing, or owning data-- must undergo OMB project determinations by CDC and may require OMB Paperwork Reduction Act of 1995 (PRA) clearance prior to the start of the project.
6. Provide continuous consultation and scientific and technical assistance based on appropriate HHS/CDC and OGAC documents to promote the use of best practices known at the time.
7. Assist the recipient in developing and implementing quality-assurance criteria and procedures.
8. Facilitate and/or participate in in-country planning and review meetings for technical assistance activities.
9. Conduct site visits through the Site Improvement through Monitoring System (SIMS), in compliance with PEPFAR requirements, to monitor and evaluate clinical and community service delivery site capacity to provide high-quality HIV/AIDS services in all program areas and 'above-site' capacity to perform supportive or systemic functions, by assessing and scoring key program area elements of site performance and collaborating strategically with the recipient on identified gaps and continuous quality improvement, which might include more thorough data quality or service quality assessments as indicated.
10. Coordinate with the recipient to ensure the recipient's Evaluation and Performance Measurement Plan is aligned with the strategic information guidance established by OGAC and other HHS/CDC requirements, including PEPFAR's Monitoring, Evaluation, and Reporting (MER) strategy, PEPFAR's Evaluation Standards of Practice, and CDC's Data for Partner Monitoring Program (DFPM).
11. Provide ethical reviews in order to direct and/or facilitate desired changes, as necessary, for evaluation activities, including from HHS/CDC headquarters. Evaluations can be process, outcome, or economic.
  - A. Process Evaluation: measures how the intervention was delivered, what worked/did not, differences between the intended population and the population served, and access to the intervention.
  - B. Outcome Evaluation: determines effects of intervention in target population(s)

(e.g., change in knowledge, attitudes, behavior, capacity, etc.).

C. Economic Evaluation: justifies the investment, and determines the efficiency and economic impact of interventions.

12. Supply the recipient with protocols for related evaluations.

As described in current Country Operational Plan (COP) guidance, quarterly performance thresholds should be monitored throughout the year. In addition to CDC's substantial involvement, the agency will conduct normal oversight and monitoring activities to effectuate program performance. Underperformance in achieving established programmatic targets may result in corrective action being taken as outlined in current COP guidance. Corrective action may include the implementation of a Target Improvement Plan (TIP) and/or a Corrective Action Plan (CAP) to assist recipients with meeting established programmatic targets. The agency will assess recipients' level of effort, including any preventative action taken, and any extenuating circumstances internal and external to the recipient when considering a TIP and/or CAP.

Be advised that any changes made to the COP guidance related to substantial involvement and the monitoring of quarterly and annual performance PEPFAR targets will become effective and implemented in accordance with the revised/new COP guidance. These changes may impact the agency's substantial involvement and/or how it ensures the achievement of recipients' quarterly and annual PEPFAR targets.

The use of a TIP and/or CAP does not replace or reduce the Federal regulations promulgated in 45 CFR § 75.371. If a recipient fails to comply with Federal statutes, regulations or the terms and conditions of its cooperative agreement, CDC or the pass-through entity may impose additional conditions, as described in 45 CFR § 75.207. If CDC or the pass-through entity determines that noncompliance cannot be remedied by imposing additional conditions, CDC or the pass-through entity may take one or more actions legally available.

**Use of Unobligated Funds:** This NoA includes use of Year 02 unobligated funds in the amount of **\$100,000**, which has been applied as an offset to the currently approved funding level for this budget period. The use of unobligated funds is approved based on the Year 02 Federal Financial Report (FFR) dated March 30, 2020. The amount of this NoA will be subject to reduction if the final amount of unobligated funds is less than the amount of unobligated funds reported on the referenced FFR.

**Budget Revision Requirement:** By October 30, 2020 the recipient must submit a revised budget with a narrative justification. Failure to submit the required information in a timely manner may adversely affect the future funding of this project. If the information cannot be provided by the due date, you are required to contact the GMS/GMO identified in the CDC Staff Contacts section of this notice before the due date.

**NOTE:** A separate budget detail, budget narrative, and budget workplan is required for each individual approved component.

**Program Income:**

Addition alternative: Under this alternative, program income is added to the funds committed to the project/program and is used to further eligible project/program objectives.

Note: The disposition of program income must have written prior approval from the GMO.



## FUNDING RESTRICTIONS AND LIMITATIONS

**Administrative Note:** There are significant changes in the amount and number of components from the project officer recommendations and the submitted budget. There are 25 approved components. Of the approved, there are 10 components funded in this action. Please refer to the attached budgetary recommendations and proposed component breakdown when revising your budget. If component budgets for all components cannot be provided in your resubmission, please ensure that revised budgets are supplied for the initial funded components that require revisions

There are many of the components that accurately match the project officer recommended components, however there are some that do not match.

**Indirect costs:** Indirect costs are based on the negotiated indirect cost rate agreement dated October 6, 2017. The rates in this agreement are to be used for the entire project period, including any approved extensions, in accordance with 45 CFR Part 75, Appendix III. Indirect cost/facilities and administration rates for subcontracts will be treated in the same manner as those for the recipient, if the subcontractor is covered by 45 CFR Part 75, Appendix III.

**Foreign Taxes:** Pursuant to applicable grant regulations, foreign taxes charged for the purchase of goods or services that a non-federal entity is legally required to pay in country are an allowable expense under federal awards. For purposes of this term, foreign taxes include value-added taxes (VAT), customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in the funding agreement, which may include the purchase, import, use or re-export of goods or services.

The determination of whether such foreign taxes are an allowable expense will depend on whether an exemption or effective reimbursement mechanism exists in country. Effective reimbursement is defined as a reimbursement mechanism that provides for no less than substantial reimbursement of USG funds. Generally such exemptions or rights to reimbursement are set forth in bilateral or other legal agreements between the United States Government (USG) and the host country.

1. **Countries where an exemption or right to reimbursement exists:**

In countries where a bilateral or other legal agreement sets forth an exemption, the recipient must take advantage of the exemption and may not pay taxes with award funds. If, however, the host country implements the exemption through a reimbursement mechanism, the recipient may pay the taxes with award funds but must request and receive the reimbursement, as those expenses are deemed an unallowable expense under the award. If the reimbursement mechanism is used, recipients should consult with the CDC project officer and the CDC grants management specialist to determine how the reimbursed funds should be handled. If reimbursement is requested but not received from the host country despite significant effort, so long as recipient provides sufficient documentation showing efforts to seek reimbursement to the CDC grants management specialist, the foreign tax payment will be an allowable expense.

2. **Countries where no exemption and/or no right to reimbursement exist:**

In countries where a) there is no bilateral or other legal agreement in force setting forth either an exemption or a right to reimbursement, b) a bilateral or other legal agreement

is in force but does not provide for an exemption or a right to reimbursement, the recipient may pay foreign taxes with award funds. Such payments would be deemed allowable expenses.

3. **Countries where a specific bilateral agreement between the US and the host country (e.g., 1951 Bilateral Agreement between the US and the UK applicable to former UK territories; 1989 bilateral between the US and Swaziland) applies (Bahamas, India, Kenya, Suriname, Swaziland, Trinidad and Tobago, and Zambia):** Consistent with the bilateral agreement, this Notice of Grant Award represents the implementing agreement required by the bilateral agreement for tax purposes. Pursuant to the specific bilateral agreement in force, the host country has agreed that USG funds (e.g., HHS/CDC funds, PEPFAR funds) provided to and utilized by recipient, as it carries out the program activities and objectives set forth in this implementing agreement, shall be free from taxes imposed under laws in effect in the host country. These tax exemptions on USG funds include, but are not limited to, the following:
- a. Taxes, customs duties, and other similar charges levied on any transaction financed by HHS/CDC award funds in furtherance of program activities and objectives as set forth in this agreement, which may include the purchase, import, use or re-export of goods or services, including value-added taxes (VAT). Goods include, but are not limited to, commodities, equipment and supplies, including automobiles, which have been imported for the purpose of the funded program activities and objectives.
  - b. Taxes of a non-Resident organization on income allowed by HHS/CDC to be derived from HHS/CDC funding of program activities and objectives set forth in this agreement.
  - c. Taxation on personal income paid from HHS/CDC funds to employees of Recipient who pay taxes on their income to the United States Government; and
  - d. Should any conflict or disagreement about the above exemptions arise, Recipient agrees to promptly notify CDC (project officer or grants management officer) to work to resolve such matters, guided by the principle that the funding furnished by HHS/CDC is free from taxation.

**Prostitution and Sex Trafficking (Items 1 through 6):**

1. Consistent with Section 7631(e) of the U.S. Leadership Against HIV/AIDS, Tuberculosis, and Malaria Act of 2003, 22 USC §§ 7601 et seq. ("the Leadership Act"), the U.S. Government is opposed to prostitution and related activities, which are inherently harmful and dehumanizing, and contribute to the phenomenon of trafficking in persons. None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides.
2. Additionally, consistent with Section 7631(f) of the Leadership Act, a prime recipient that is a non-U.S. nongovernmental organization acknowledges that, by accepting this award, it agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children.
3. Contractors and subcontractors are exempt from the above requirements if the contract or subcontract is for commercial items and services as defined in FAR 2.101, such as pharmaceuticals, medical supplies, logistics support, data management, and freight

forwarding.

4. Notwithstanding the contract exemption above, not exempt from these provisions are recipients, subrecipients, contractors, and subcontractors that implement HIV/AIDS programs under this assistance award, any subaward, or procurement contract or subcontract by:
  - i. Providing supplies or services directly to the final populations receiving such supplies or services in host countries;
  - ii. Providing technical assistance and training directly to host country individuals or entities on the provision of supplies or services to the final populations receiving such supplies and services; or
  - iii. Providing the types of services listed in FAR 37.203(b)(1)-(6) that involve giving advice about substantive policies of a recipient, giving advice regarding the activities referenced in (i) and (ii), or making decisions or functioning in a recipient's chain of command (e.g., providing managerial or supervisory services approving financial transactions, personnel actions).
  
5. Subrecipients
  - i. Prime recipient shall insert the following provision in subawards or subcontracts: "None of the funds made available under this agreement may be used to promote or advocate the legalization or practice of prostitution or sex trafficking. Nothing in the preceding sentence shall be construed to preclude the provision to individuals of palliative care, treatment, or post-exposure pharmaceutical prophylaxis, and necessary pharmaceuticals and commodities, including test kits, condoms, and, when proven effective, microbicides."
  - ii. Prime recipients shall insert the following provision in subawards or subcontracts subject to Section 7631(f) (i.e., those to non-U.S. nongovernmental organizations): "By accepting this award, the subrecipient/ subcontractor agrees that it is opposed to the practices of prostitution and sex trafficking because of the psychological and physical risks they pose for women, men, and children."
  
6. The following definitions apply for purposes of the above provisions:
  - i. "Commercial sex act" means any sex act on account of which anything of value is given to or received by any person.
  - ii. "Prostitution" means procuring or providing any commercial sex act and the "practice of prostitution" has the same meaning.
  - iii. "Sex trafficking" means the recruitment, harboring, transportation, provision, or obtaining of a person for the purpose of a commercial sex act. 22 U.S.C. 7102(9).

This provision includes express terms and conditions of the award and any violation of it shall be grounds for unilateral termination of the award by (HHS OPDIV) prior to the end of its term.

Any enforcement of this provision is subject to courts' orders in *Alliance for Open Society International v. USAID* (See, e.g., S.D.N.Y. 05 Civ. 8209, Orders filed on January 30, 2015 and June 6, 2017, granting permanent injunction).

**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. The link to the full text is at:

<https://www.cdc.gov/grants/federal-regulations-policies/index.html>

## REPORTING REQUIREMENTS

**Reporting of Foreign Taxes:** The U.S. Department of State requires that agencies collect and report information on the amount of taxes assessed, reimbursed and not reimbursed by a foreign government against commodities financed with funds appropriated by the U.S. Department of State, Foreign Operations and Related Programs Appropriations Act (SFOAA) of 2011 (United States foreign assistance funds). Outlined below are the specifics of this requirement:

- a. Annual Report. The recipient must submit a report on or before November 16 for each foreign country on the amount of foreign taxes charged, as of September 30 of the same year, by a foreign government on commodity purchase transactions valued at \$500 USD or more financed with United States foreign assistance funds under this grant during the prior United States fiscal year (October 1 - September 30), and the amount reimbursed and unreimbursed by the foreign government. [Reports are required even if the recipient did not pay any taxes during the reporting period.]
- b. Quarterly Report. The recipient must quarterly submit a report on the amount of foreign taxes charged by a foreign government on commodity purchase transactions valued at \$500 USD or more financed with United States foreign assistance funds under this grant. This report shall be submitted no later than two weeks following the end of each quarter: April 15, July 15, October 15 and January 15.
- c. Terms: For purposes of this clause:
  - i. Commodity means any material, article, supplies, goods, or equipment;
  - ii. Foreign government includes any foreign government entity;
  - iii. Foreign taxes means value-added taxes and custom duties assessed by a foreign government on a commodity. It does not include foreign sales taxes.
- d. Where: Submit the reports as a Grant Note in GMM. For information on how to submit a Grant Note, please reference this job aid: <https://www.grantsolutions.gov/support/public/pdf/QuickSheetNotesGrantees.pdf>.  
Contents of Reports. The reports must contain:
  - i. recipient name;
  - ii. contact name with phone, fax, and e-mail;
  - iii. agreement number(s) if reporting by agreement(s);
  - iv. reporting period;
  - v. amount of foreign taxes assessed by each foreign government;
  - vi. amount of any foreign taxes reimburse by each foreign government;
  - vii. amount of foreign taxes unreimbursed by each foreign government.
- e. Sub-agreements. The recipient must include this reporting requirement in all applicable subgrants and other sub-agreements.

**Required Disclosures for Federal Awardee Performance and Integrity Information System**

**(FAPIIS):** Consistent with 45 CFR 75.113, applicants and recipients must disclose in a timely manner, in writing to the CDC, with a copy to the HHS Office of Inspector General (OIG), all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Subrecipients must disclose, in a timely manner in writing to the prime recipient (pass through entity) and the HHS OIG, all information related to violations of federal criminal law involving fraud, bribery, or gratuity violations potentially affecting the federal award. Disclosures must be sent in writing to the CDC and to the HHS OIG at the following addresses:

CDC, Office of Grants Services  
Percy Jernigan, Grants Management Officer/Specialist  
Centers for Disease Control and Prevention  
Global Health Services Branch  
Office: 770-488-2811  
Email: [ibj7@cdc.gov](mailto:ibj7@cdc.gov)

AND

U.S. Department of Health and Human Services  
Office of the Inspector General  
ATTN: Mandatory Grant Disclosures, Intake Coordinator  
330 Independence Avenue, SW  
Cohen Building, Room 5527  
Washington, DC 20201

Fax: (202)-205-0604 (Include "Mandatory Grant Disclosures" in subject line) or  
Email: [MandatoryGranteeDisclosures@oig.hhs.gov](mailto:MandatoryGranteeDisclosures@oig.hhs.gov)

Recipients must include this mandatory disclosure requirement in all subawards and contracts under this award.

Failure to make required disclosures can result in any of the remedies described in 45 CFR 75.371. Remedies for noncompliance, including suspension or debarment (See 2 CFR parts 180 and 376, and 31 U.S.C. 3321).

CDC is required to report any termination of a federal award prior to the end of the period of performance due to material failure to comply with the terms and conditions of this award in the OMB-designated integrity and performance system accessible through SAM (currently FAPIIS). (45 CFR 75.372(b)) CDC must also notify the recipient if the federal award is terminated for failure to comply with the federal statutes, regulations, or terms and conditions of the federal award. (45 CFR 75.373(b))

**PROGRAM OR FUNDING GENERAL REQUIREMENTS**

**PEPFAR Branding:** All PEPFAR-funded programs or activities must adhere to PEPFAR branding guidance, which includes guidance on the use of the PEPFAR logo and/or written attribution to PEPFAR. PEPFAR branding guidance can be found at <http://www.pepfar.gov/reports/guidance/branding/index.htm>

**PAYMENT INFORMATION**

The HHS Office of the Inspector General (OIG) maintains a toll-free number (1-800-HHS-TIPS [1-800-447-8477]) for receiving information concerning fraud, waste, or abuse under grants and cooperative agreements. Information also may be submitted by e-mail to [hhstips@oig.hhs.gov](mailto:hhstips@oig.hhs.gov) or by mail to Office of the Inspector General, Department of Health and Human Services, Attn: HOTLINE, 330 Independence Ave., SW, Washington DC 20201. Such reports are treated as sensitive material and submitters may decline to give their names if they choose to remain anonymous.

**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.

The grant document number identified on the bottom of Page 1 of the Notice of Award must be known in order to draw down funds.

<b>Document Number:</b> 19NU2GGH00217019ACCO	<b>Cambodia</b>
<b>Document Number:</b> 19NU2GGH00217019KECO	<b>Kenya</b>
<b>Document Number:</b> 19NU2GGH00217019MWCO	<b>Malawi</b>
<b>Document Number:</b> 19NU2GGH00217019NACO	<b>Namibia</b>
<b>Document Number:</b> 19NU2GGH002170	<b>HOP Thailand</b>
<b>Document Number:</b> 19NU2GGH00217019UGCO	<b>Uganda</b>
<b>Document Number:</b> 19NU2GGH00217019VNCO	<b>COP Vietnam</b>
<b>Document Number:</b> 19NU2GGH00217020VNGC	<b>Central Initiative Vietnam</b>
<b>Document Number:</b> 19NU2GGH002170 ZACO	<b>Zambia</b>
<b>Document Number:</b> 19NU2GGH002170BUCO	<b>Burndi</b>
<b>Document Number:</b> 19NU2GGH002170	<b>HOP/TLS</b>
<b>Document Number:</b> 19NU2GGH002170	<b>PMTCT</b>
<b>Document Number:</b> 19NU2GGH002170	<b>Royalty</b>

**Exchange Rate:** All requests for funds contained in the budget, shall be stated in U.S. dollars. Once an award is made, CDC may not compensate foreign recipients for currency exchange fluctuations through the issuance of supplemental awards.

## PROGRAM OR FUNDING SPECIFIC CLOSEOUT REQUIREMENTS

**The Closeout terms are included in the General Terms and Conditions:**

<https://www.cdc.gov/grants/federalregulationspolicies/index.html>.

The final programmatic report format required is the following.

**Final Performance Progress and Evaluation Report:** This report should include the information specified in the NOFO and is submitted 90 days following the end of the period of performance via [www.grantsolutions.gov](http://www.grantsolutions.gov). At a minimum, the report will include the following:

- Statement of progress made toward the achievement of originally stated aims.
- Description of results (positive or negative) considered significant.
- List of publications resulting from the project, with plans, if any, for further publication.

Additional guidance may be provided by the GMS and found at:

<https://www.cdc.gov/grants/alreadyhavegrant/Reporting.html>

## CDC Staff Contacts

**Grants Management Specialist:** The GMS is the federal staff member responsible for the day-to-day management of grants and cooperative agreements. The GMS is the primary contact of recipients for business and administrative matters pertinent to grant awards.

**GMS Contact:**

Percy Jernigan, Grants Management Officer/Specialist  
Centers for Disease Control and Prevention  
Global Health Services Branch  
Office: 770-488-2811  
Email: [ibj7@cdc.gov](mailto:ibj7@cdc.gov)

**Program/Project Officer:** The PO is the federal official responsible for monitoring the programmatic, scientific, and/or technical aspects of grants and cooperative agreements, as well as contributing to the effort of the award under cooperative agreements.

**Programmatic Contact:**

Emily Stong,  
Project Officer  
Centers for Disease Control  
Telephone: 404.718.8292  
Email: [wrs8@cdc.gov](mailto:wrs8@cdc.gov)

**Grants Management Officer:** The GMO is the federal official responsible for the business and other non-programmatic aspects of grant awards. The GMO is the only official authorized to obligate federal funds and is responsible for signing the NoA, including revisions to the NoA that change the terms and conditions. The GMO serves as the counterpart to the business officer of the recipient organization.

**GMO Contact:**

Tajsha Lashore, Grants Management Officer

Centers for Disease Control and Prevention  
Global Health Services Branch  
Office: 404.498.5696  
Email: [okx5@cdc.gov](mailto:okx5@cdc.gov)





Cooperative Agreement Number:

## Programmatic Budgetary Comments

Note: Programmatic budget restrictions, concerns, and comments should be addressed prior to the award being made. This will take place during the OGS Budget negotiations.

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

This box signifies the Project Officer's official review of the applicant's proposed budget. This check box applies to all awards with new funding. PBEMB will consider this form to be incomplete if this box is left unchecked.

The recommended budget should be outlined in the GMM Budget Markup Spreadsheet for funding actions.

**I certify that I support the recipient's proposed categorical 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 categorical budget.**

- *If additional space is needed to justify the recommended funding amount, 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)*

International Travel: Current COVID-19 pandemic is likely to affect international travel this grantee will need to work with CDC Uganda to redirect funds towards other under funded priorities.

**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.**
- **REMEMBER:** 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 Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
<b>Total</b>	\$ 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)*

Cooperative Agreement Number:

## Programmatic Budgetary Comments

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I wish to make changes to the recipient's proposed categorical budget.

- *If additional space is needed to justify the recommended funding amount, 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)*

As discussed previously, please clarify how \$140,000 USD can be aligned to support unique patient identifier development as part of recency activities.

Please budget for more cluster response investigations and routine data review with all HIV programmes.

**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:**

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- 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.**
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Facilities/Construction	\$
Other	\$
<b>Total</b>	\$ 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)*

Cooperative Agreement Number: 

## Programmatic Budgetary Comments

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The recommended budget should be outlined in the GMM Budget Markup Spreadsheet for funding actions.

I certify that I support the recipient's proposed categorical 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 categorical budget.

- *If additional space is needed to justify the recommended funding amount, 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)*

- At least one named staff may no longer be an employee of Global Programs in Kenya (Daniel Fedha). Update the staffing as applicable to best of knowledge at present.

- The budget is split into Component 6 (Q1&Q2) and Component 7 (Q3 & Q4). Within each component staff time is multiplied over 12 months. Why is this the case if the budget was only covering 6 months for each component? If we are covering a staff fully under this project, then shouldn't it be 100% for 6 month in both components for a total of 12 months staff support? Same applies for other LOE. Some staff appear to be correct in total, others appear to have doubled the salary amount. Example: Mary Mwangome was requested at 10% for 12 months, however she appears in both component budgets. Caroline Thaluliba was requested at 100% for 12 months, and appears as 50% in both components, which does add up to 100% of the salary. Revise the budget for Component 6 and 7 to reflect spending occurring in each quarterly in correct proportions, for staffing and activities.

- Similar to the staffing comment above, some activities are budgeted twice in Component 6 and 7, e.g. CHMT, CHD meetings, Trainings, Site Activations. These are budgeted at the full coverage needed overall in both components. In addition, the factor used is 35 counties, which was based on best available estimates at the time of writing. It is now more likely that no recency surveillance will have begun in FY20, therefore the FY21 budget should be for 40 counties. Revise the budget for Component 6 and 7 to reflect spending occurring in each quarterly in correct proportions, for staffing and activities. Revise the # county multiplier to 40 counties given low likelihood of starting even 5 counties FY20. If some are started then we will build on that in FY21.

- International travel appears in both Component 6 & 7, which could be okay however there is a low likelihood of "normal" international travel in FY21 therefore the number of trips could be reduced and furthermore there is no description of the trip purpose or traveler. Reduce the planned number of international trips and provide description of trip purpose/traveler proposed.

- Travel - Please provide the breakdown of \$31,315 allocated for local travel in the same way you have provided breakdown for the other travels.

- Under the other budget category you have included an allocation for Global Programs Kenya Rent at \$200pp/month but the totals are \$9,720. How are yiu arriving at this figure.

**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.**
- **REMEMBER:** 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 Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
<b>Total</b>	\$ 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)*

Cooperative Agreement Number:

## Programmatic Budgetary Comments

Note: Programmatic budget restrictions, concerns, and comments should be addressed prior to the award being made. This will take place during the OGS Budget negotiations.

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

This box signifies the Project Officer's official review of the applicant's proposed budget. This check box applies to all awards with new funding. PBEMB will consider this form to be incomplete if this box is left unchecked.

The recommended budget should be outlined in the GMM Budget Markup Spreadsheet for funding actions.

I certify that I support the recipient's proposed categorical 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 categorical budget.

- *If additional space is needed to justify the recommended funding amount, 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)*

- Component 1 & 2 budgets appear to be identical. Within each component staff time is multiplied over 12 months. This doesn't make sense, one would expect each Component to represent 6 months. Please resubmit HOP budget totaling \$2M, not budgeting for the same items twice.
- How will COVID-19 impact YR3 budget? Given that many recency activities have been scaled down or paused and travel is restricted, consider whether HQ staff time/salaries and travel and other aspects of budget need to be modified.
- \$100,000 has been approved from HOP funding as Offset for Thailand needs. The intent is to avoid a disruption of services. Once the country team has approval from OGAC, the Thailand ROP funds can be carried over.



**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.**
- **REMEMBER:** 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 Amount
Personnel	\$
Fringe Benefits	\$
Travel	\$
Equipment	\$
Supplies	\$
Contractual	\$
Facilities/Construction	\$
Other	\$
<b>Total</b>	\$ 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)*

San Francisco Department of Public Health Subcontract  
 Budget Period: 9/30/2020-9/29/2021  
 Budget Name: UCSF Recency YR3 (COP20) Budget

<u>A. Salaries and Wages</u>					(A)	(B)	
Personnel	Position Title	Current Salary	% effort	# mos.	Salary	Benefits	Total
McFarland, Willi	Director of Surveillance	\$197,300	15%	12	\$29,595	\$8,953	\$38,548
							\$0
							\$0
<b>Total Personnel</b>			15%		\$29,595	\$8,953	\$38,548
<b>Total Direct Costs</b>							\$38,548
Overhead at 12%							\$4,626
<b>Grand Total</b>							<b>\$43,173</b>

**Tracking with Recency Assays to Control the Epidemic (TRACE)**  
**Cooperative Agreement Number: NU2GGH002170**  
**University of California, San Francisco (UCSF)**  
**Year 3 Budget Period: September 30, 2020 to September 29, 2021**  
**SFDPH Subcontract Budget Justification**

- 1. Name of Contractor:** San Francisco Department of Public Health (SFDPH)
- 2. Period of Performance:** 09/30/2020 to 09/29/2021
- 3. Itemized Budget & Justification:** For SFDPH sub-agreement budget, see UCSF budget. Budget Justification included below.

We request a total of \$43,173 for a subaward with San Francisco Department of Public Health (SFDPH).

**Personnel:**

**Willi, McFarland, *Director of Surveillance***, has several years of experience working on surveillance in general and key populations, in both domestic and international settings. He will provide high-level technical assistance on surveillance strategy for HIV recency. We request 15% (\$29,595) salary support for this position for 12 months.

**Subaward Fringe Benefit and Indirect Cost Rates:**

The fringe benefit rate is calculated as 30.37% of Willi McFarland' salary (\$8,953).

The indirect cost rate is 12% of total direct expenses (\$4,626).



**London N. Breed**  
**Mayor**

**TO:** Angela Calvillo, Clerk of the Board of Supervisors

**FROM:** Dr. Grant Colfax  
Director of Health

**DATE:** 12/9/2020

**SUBJECT:** Grant Accept and Expend

**GRANT TITLE:** Accept and Expend Grant - Recent Infection Surveillance Consortium - \$124,904

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Attached please find the original and 1 copy of each of the following:

- Proposed grant resolution, original signed by Department
- Grant information form, including disability checklist -
- Budget and Budget Justification
- Grant application: Not Applicable. No application submitted.
- Agreement / Award Letter
- Other (Explain):

**Special Timeline Requirements:**

**Departmental representative to receive a copy of the adopted resolution:**

Name: Gregory Wong (greg.wong@sfdph.org) Phone: 554-2521

Interoffice Mail Address: Dept. of Public Health, 101 Grove St # 108

Certified copy required Yes

No

**From:** [Groffenberger, Ashley \(MYR\)](#)  
**To:** [Peacock, Rebecca \(MYR\)](#); [BOS Legislation, \(BOS\)](#)  
**Cc:** [Kittler, Sophia \(MYR\)](#); [Wong, Greg \(DPH\)](#)  
**Subject:** RE: Mayor -- [TYPE] -- [Accept and Expend Grant - Retroactive - Centers for Disease Control and Prevention - The Regents of the University of California, San Francisco - Recent Infection Surveillance Consortium - \$124,904]  
**Date:** Tuesday, December 8, 2020 4:22:54 PM

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Approved.

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**From:** Peacock, Rebecca (MYR)  
**Sent:** Tuesday, December 8, 2020 4:22 PM  
**To:** BOS Legislation, (BOS) <bos.legislation@sfgov.org>; Groffenberger, Ashley (MYR) <ashley.groffenberger@sfgov.org>  
**Cc:** Kittler, Sophia (MYR) <sophia.kittler@sfgov.org>; Wong, Greg (DPH) <greg.wong@sfdph.org>  
**Subject:** Mayor -- [TYPE] -- [Accept and Expend Grant - Retroactive - Centers for Disease Control and Prevention - The Regents of the University of California, San Francisco - Recent Infection Surveillance Consortium - \$124,904]

Attached for introduction to the Board of Supervisors is a **resolution retroactively authorizing the Department of Public Health to accept and expend a grant increase in the amount of \$43,173 for a total amount of \$124,904 from the Centers for Disease Control and Prevention through the Regents of the University of California, San Francisco for participation in a program, entitled "Recent Infection Surveillance Consortium," for the period of August 1, 2019, through September 29, 2021.**

[@Groffenberger, Ashley \(MYR\)](#) please reply-all to indicate your approval. Thanks!

Please let me know if you have any questions.

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**Rebecca Peacock** ([they/them](#))  
(415) 554-6982 | [Rebecca.Peacock@sfgov.org](mailto:Rebecca.Peacock@sfgov.org)  
Office of Mayor London N. Breed  
City & County of San Francisco

FILE NO.

RESOLUTION NO.

1 [Accept and Expend Grant - Retroactive - Centers for Disease Control and Prevention - The  
2 Regents of the University of California, San Francisco - Recent Infection Surveillance  
3 Consortium - \$124,904]

4 **Resolution retroactively authorizing the Department of Public Health to accept and**  
5 **expend a grant increase in the amount of \$43,173 for a total amount of \$124,904 from**  
6 **the Centers for Disease Control and Prevention through the Regents of the University**  
7 **of California, San Francisco for participation in a program, entitled “Recent Infection**  
8 **Surveillance Consortium,” for the period of August 1, 2019, through September 29,**  
9 **2021.**

10  
11 WHEREAS, The Centers for Disease Control and Prevention (CDC), through the  
12 Regents of the University of California, San Francisco (UCSF) as a pass-through entity, has  
13 agreed to fund the Department of Public Health (DPH) in the amount of \$124,904 for  
14 participation in a program, entitled “Recent Infection Surveillance Consortium,” for the period  
15 of August 1, 2019, through September 29, 2021; and

16 WHEREAS, In close collaboration with UCSF, DPH will provide technical  
17 assistance and capacity building for rollout of Human Immunodeficiency Virus (HIV) recency  
18 in multiple countries, including Burundi, Cambodia, Kenya, Malawi, Namibia, Thailand/Laos,  
19 Uganda, Vietnam, and Zambia; and

20 WHEREAS, William McFarland, Director of Surveillance, has several years of  
21 experience working on surveillance in general and key populations, in both domestic and  
22 international settings, and will provide high-level technical assistance on surveillance strategy  
23 for HIV recency; and

24 WHEREAS, A grant increase of \$43,173 from \$81,731 was approved for the period of  
25 August 1, 2019, through September 29, 2021 for a total amount of \$124,904; and

1           WHEREAS, The grant does not require an Annual Salary Ordinance Amendment; and  
2           WHEREAS, A request for retroactive approval is being sought because DPH received  
3 the amended award agreement on October 9, 2020, for the full project start date of August 1,  
4 2019; and

5           WHEREAS, The grant budget includes a provision for indirect costs in the amount of  
6 \$13,383; now, therefore, be it

7           RESOLVED, That DPH is hereby authorized to retroactively accept and expend a grant  
8 in the amount of \$124,904 from the CDC through UCSF; and, be it

9           FURTHER RESOLVED, That DPH is hereby authorized to retroactively accept and  
10 expend the grant funds pursuant to Administrative Code, Section 10.170-1; and, be it

11           FURTHER RESOLVED, That the Director of Health is authorized to enter into the  
12 Agreement on behalf of the City; and, be it

13           FURTHER RESOLVED, That within thirty (30) days of the Grant Agreement being fully  
14 executed by all parties, the Director of Health shall provide a copy to the Clerk of the Board of  
15 Supervisors for inclusion in the official file.

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Recommended:

DocuSigned by:  
*Greg Wagner*  
20527524752848F...

Dr. Grant Colfax  
Director of Health  
Greg Wagner, COO for

Approved: \_\_\_\_\_

Mayor

Approved: \_\_\_\_\_

Controller