



**Grant Number:** 5R21HD071765-02  
**FAIN:** R21HD071765

**Principal Investigator(s):**  
William McFarland, MD

**Project Title:** Probability-based survey of HIV risk among transmen using a novel sampling method

Dr. Raymond, Henry Fisher  
Co Director of HIV Epidemiology  
25 Van Ness Avenue, Suite 500  
San Francisco, CA 941026056

**Award e-mailed to:** barbara.garcia@sfdph.org

**Budget Period:** 04/01/2014 – 03/31/2015  
**Project Period:** 04/01/2013 – 03/31/2015

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$162,313 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to SAN FRANCISCO DEPT OF PUBLIC HEALTH in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the “Terms and Conditions” is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the Eunice Kennedy Shriver National Institute Of Child Health & Human Development of the National Institutes of Health under Award Number R21HD071765. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator’s Financial Conflict of Interest (FCOI), in accordance with 42 CFR Part 50 Subpart F. Subsequent to the compliance date of the 2011 revised FCOI regulation (i.e., on or before August 24, 2012), Awardees must be in compliance with all aspects of the 2011 revised regulation; until then, Awardees must comply with the 1995 regulation. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Ted Williams  
Grants Management Officer  
EUNICE KENNEDY SHRIVER NATIONAL INSTITUTE OF CHILD HEALTH & HUMAN  
DEVELOPMENT

Additional information follows

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**SECTION I – AWARD DATA – 5R21HD071765-02****Award Calculation (U.S. Dollars)**

|  |                  |
|--|------------------|
| Federal Direct Costs                         | \$154,197        |
| Federal F&A Costs                            | \$8,116          |
| Approved Budget                              | \$162,313        |
| Federal Share                                | \$162,313        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>            | <b>\$162,313</b> |
| <br>   |                  |
| <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b> | <b>\$162,313</b> |

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 2                            | \$162,313  | \$162,313         |

**Fiscal Information:**

**CFDA Number:** 93.865  
**EIN:** 1946000417A8  
**Document Number:** RHD071765A  
**PMS Account Type:** G (Pooled)  
**Fiscal Year:** 2014

|    |         |           |
|----|---------|-----------|
| IC | CAN     | 2014      |
| HD | 8014710 | \$162,313 |

**NIH Administrative Data:**

**PCC:** PDB -SN / **OC:** 414E / **Released:** WILLIAMST 03/24/2014  
**Award Processed:** 12/26/2013 10:57:56 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R21HD071765-02**

For payment and HHS Office of Inspector General Hotline information, see the NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm>

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**SECTION III – TERMS AND CONDITIONS – 5R21HD071765-02**

This award is based on the application submitted to, and as approved by, NIH on the above-titled project and is subject to the terms and conditions incorporated either directly or by reference in the following:

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

An unobligated balance may be carried over into the next budget period without Grants Management Officer prior approval.

This grant is subject to Streamlined Noncompeting Award Procedures (SNAP).

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in

the Central Contractor Registration. Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R21HD071765. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

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

A final Federal Financial Report (FFR) (SF 425) must be submitted through the eRA Commons (Commons) within 90 days of the expiration date; see the NIH Grants Policy Statement Section 8.6.1 Financial Reports, <http://grants.nih.gov/grants/policy/#gps>, for additional information on this submission requirement. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) cash transaction data.

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 90 days of the expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>.

Unless an application for competitive renewal is submitted, a final progress report must also be submitted within 90 days of the expiration date. Instructions for preparing a Final Progress Report are at: <http://grants.nih.gov/grants/funding/finalprogressreport.pdf>. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the final progress report. Institute/Centers may accept the progress report contained in competitive renewal (type 2) in lieu of a separate final progress report. Contact the awarding IC for IC-specific policy regarding acceptance of a progress report contained in a competitive renewal application in lieu of a separate final progress report.

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

Email: The final progress report and final invention statement may be e-mailed as PDF attachments to the NIH Central Closeout Center at: [DeasCentralized@od.nih.gov](mailto:DeasCentralized@od.nih.gov).

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

NIH Division of Central Grants Processing, OER  
6705 Rockledge Drive  
Suite 5016, Room 5109  
MSC 7986  
Bethesda, MD 20892-7986 (for regular or U.S. Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express mail delivery only)

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

**Treatment of Program Income:**  
Additional Costs

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**SECTION IV – HD Special Terms and Conditions – 5R21HD071765-02**

In accordance with the NIH FY2014 fiscal policy, this non-competing award is reduced below the committed funding level on the FY2013 Notice of Award. See NIH Guide Notice NOT-OD-14-055 for additional information (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-14-055.html>).

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Human Subjects: NICHD recognizes that investigators are submitting applications to conduct exciting and important research of interest to NICHD. NICHD has oversight responsibilities to ensure compliance with government regulations and to ensure the safety of human subjects in research. The following Web site contains information regarding your institutional responsibilities and compliance issues that should be reviewed throughout the duration of your NIH-supported project. HHS Web Site for Human Subjects: <http://www.hhs.gov/ohrp/>.

For specific requirements related to the protection of human subjects, see the NIH Grants Policy Statement (rev. 10/13) ([http://grants.nih.gov/grants/policy/nihgps\\_2013/nihgps\\_ch4.htm#human\\_subjects\\_protections](http://grants.nih.gov/grants/policy/nihgps_2013/nihgps_ch4.htm#human_subjects_protections)).

**STAFF CONTACTS**

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Willa Plater  
**Email:** platerw@mail.nih.gov **Phone:** (301) 435-7009 **Fax:** (301) 402-4782

**Program Official:** Susan Newcomer  
**Email:** newcomes@mail.nih.gov **Phone:** (301) 435-6981 **Fax:** (301) 496-0962

**SPREADSHEET SUMMARY**  
**GRANT NUMBER:** 5R21HD071765-02

**INSTITUTION:** SAN FRANCISCO DEPT OF PUBLIC HEALTH

| Budget            | Year 2    |
|-------------------|-----------|
| TOTAL FEDERAL DC  | \$154,197 |
| TOTAL FEDERAL F&A | \$8,116   |
| TOTAL COST        | \$162,313 |

| Facilities and Administrative Costs | Year 2   |
|-------------------------------------|----------|
| F&A Cost Rate 1                     | 26.21%   |
| F&A Cost Base 1                     | \$30,965 |
| F&A Costs 1                         | \$8,116  |