

Research Subaward Agreement Amendment

Prime Recipient	Subrecipient	
Institution/Organization ("University") Name: The Regents of the University of California Office of Sponsored Research Division of Contracts and Grants University of California, San Francisco 3333 California Street, Suite 315 San Francisco, CA 94143-0962	Institution/Organization ("Subrecipient") Name: City & County of San Francisco Department of Public Health Address: 1380 Howard Street, 4 th Floor San Francisco, CA 94105 EIN: 94-6000417	
Prime Award No. 5R01MH096642-02	Subaward No. 7238sc	Principal Investigator Dr. William McFarland
UCSF DPA-FUND Number: 557738-21738	Amendment No. 1	

Amendment(s) to Original Terms and Conditions

- **Period of Performance:** will be extended from July 1, 2013 through June 30, 2014.
- The amount funded by this amendment is **\$108,366.00** as itemized in attachment A. This amount will not be exceeded nor shall any portion be carried forward without prior written approval of the University's Principal Investigator and a subsequent formal amendment to this Agreement.

Special Terms and Conditions: 3) Objectivity in Research is to be deleted in its entirety.

General terms and conditions as of the effective date of this Research Subaward Agreement:

NIH-Specific Requirements Promoting Objectivity in Research Applicable to Subrecipients (42 CFR Part 50 Subpart F)

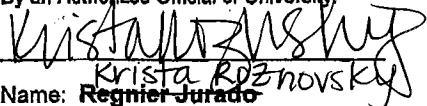
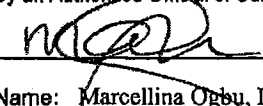
- a) 42 CFR Part 50. 604 requires that institutions conducting PHS-funded research "*Maintain an up-to-date, written, enforced policy on financial conflicts of interest.*" Further, "*If the Institution carries out the PHS-funded research through a subrecipient (e.g., subcontractors or consortium members), the Institution (awardee Institution) must take reasonable steps to ensure that any subrecipient Investigator complies with this subpart by incorporating as part of a written agreement with the subrecipient terms that establish whether the financial conflicts of interest policy of the awardee Institution or that of the subrecipient will apply to the subrecipient's Investigators.*"

Subrecipient hereby certifies by execution of this agreement that its own financial conflicts of interest policy complies with 42 CFR Part 50.

- b) Subrecipient shall report any financial conflict of interest to University, to the designated address below. Any financial conflicts of interest identified shall subsequently be reported to NIH. Such report shall be made before expenditure of funds authorized in this Subrecipient Agreement and within 45 days of any subsequently identified financial conflict of interest. The report must include the following information: (a) Grant/contract number; (b) Name of the PI; (c) Name of the investigator (if different from PI) with the conflict of interest; (d) the nature of the conflict; and (e) how the conflict was managed. All required disclosures and reports should be made to the following University official:

COI Coordinator, Campus Box 0294
 UCSF, Office of Ethics and Compliance
 3333 California Street, Suite 295
 San Francisco, CA 94143-0294
 If sent by Fed Ex or UPS, the zip code is 94118

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

By an Authorized Official of University:  Name: Regnier Jurado Krista Roznovsky Title: Manager, Contracts & Grants Division	12/5/13 Date	By an Authorized Official of Subrecipient:  Name: Marcellina Ogbu, DrPH Title: Director of Community Programs	12/2/13 Date
--	-----------------	--	-----------------

ATTACHMENT A

Principal Investigator/Program Director (Last, first, middle):

DETAILED BUDGET FOR INITIAL BUDGET PERIOD DIRECT COSTS ONLY						FROM	THROUGH	
						7/1/2013	6/30/2014	
PERSONNEL <i>(Applicant organization only)</i>		Months Devoted to Project			INST. BASE SALARY	DOLLAR AMOUNT REQUESTED <i>(omit cents)</i>		
NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summ. Mnths		SALARY REQUESTED	FRINGE BENEFITS	TOTAL
W. McFarland	Sub PI	0.12			179,700	1,797	485	2,282
S. Scheer	Co-I	1.80			117,762	17,665	7,772	25,437
T. Buckman	Health Project Coordinator	3.60			76,966	15,393	7,697	23,090
S. Plpkin	Epidemiologist	3.00			99,442	24,861	9,944	34,805
	0	0.00			0	0	0	0
	0	0.00			0	0	0	0
	0	0.00			0	0	0	0
	0	0.00			0	0	0	0
	0	0.00			0	0	0	0
	0	0.00			0	0	0	0
SUBTOTALS						59,716	25,898	85,614
CONSULTANT COSTS								0
EQUIPMENT <i>(Itemize)</i>								12,478
SUPPLIES <i>(Itemize by</i>								0
TRAVEL								0
Domestic Travel start hr								0
PATIENT CARE COSTS								0
INPATIENT								0
OUTPATIENT								0
ALTERATIONS AND RENOVATIONS <i>(Itemize by category)</i>								0
OTHER EXPENSES <i>(Itemize by category)</i>								0
CONSORTIUM/CONTRACTUAL COSTS						DIRECT COSTS		0
SUBTOTAL DIRECT COST FOR INITIAL BUDGET PERIOD <i>(Item 7a, Face Page)</i>								\$98,092
CONSORTIUM/CONTRACTUAL COSTS						FACILITIES AND ADMINISTRATIVE COSTS		10,274
TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD								\$108,366
SBIR/STTR Only: FIXED FEE REQUESTED								



Grant Number: 5R01MH096642-02

Principal Investigator(s):
HONG-HA M TRUONG, PHD

Project Title: HIV Transmission Cluster Analysis to Inform Prevention

RYAN CURTIS WELLS
Research Services Analyst
3333 California Street
Suite 315
San Francisco, CA 941186215

Award e-mailed to: cgrasteam@ucsf.edu

Budget Period: 07/01/2013 – 06/30/2014
Project Period: 09/01/2012 – 06/30/2017

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$370,362 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF CALIFORNIA-SAN FRANCISCO in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Mental Health of the National Institutes of Health under Award Number R01MH096642. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with 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,

Jane Z. Lin
Grants Management Officer

NATIONAL INSTITUTE OF MENTAL HEALTH

Additional information follows

SECTION I – AWARD DATA – 5R01MH096642-02**Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$315,011
Federal F&A Costs	\$55,351
Approved Budget	\$370,362
Federal Share	\$370,362
TOTAL FEDERAL AWARD AMOUNT	\$370,362

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$370,362

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$370,362	\$370,362
3	\$372,916	\$372,916
4	\$368,928	\$368,928
5	\$347,648	\$347,648

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

Fiscal Information:

CFDA Number: 93.242
EIN: 1946036493A6
Document Number: RMH096642A
Fiscal Year: 2013

IC	CAN	2013	2014	2015	2016
MH	8472592	\$370,362	\$372,916	\$368,928	\$347,648

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

NIH Administrative Data:

PCC: 9A-ASGP / OC: 414E / Released: LINJZ 06/28/2013
Award Processed: 07/01/2013 01:18:22 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01MH096642-02

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

SECTION III – TERMS AND CONDITIONS – 5R01MH096642-02

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:

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

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

This institution is a signatory to the Federal Demonstration Partnership (FDP) Phase V Agreement which requires active institutional participation in new or ongoing FDP demonstrations and pilots.

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

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

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the Central Contractor Registration. Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

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

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

Treatment of Program Income:
Additional Costs

SECTION IV – MH Special Terms and Conditions – 5R01MH096642-02

AWARD NOTICE:

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

FISCAL POLICY

In accordance with NOT-OD-13-064 (<http://grants.nih.gov/grants/guide/notice-files/NOT-OD-13-064.html>) the FY2013 award is made at 96% of the previously FY2013 committed level noted in the FY2012 Notice of Award. Any future year funding remains at the level noted in the FY2012 Notice of Award. The fiscal policies described therein apply.

CONSORTIUM/CONTRACTUAL COSTS:

This award includes funds for consortium activity with following organizations. Each consortium is to be established and administered in accordance with the NIH Grants Policy Statement dated October 2011. No foreign performance site may be added to this project without the written prior approval of the National Institute of Mental Health.

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

STAFF CONTACTS

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

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

Program Official: Cynthia I Grossman

Email: grossmanc@mail.nih.gov Phone: 301-443-8962 Fax: 301-443-9719

SPREADSHEET SUMMARY
GRANT NUMBER: 5R01MH096642-02

INSTITUTION: UNIVERSITY OF CALIFORNIA-SAN FRANCISCO

Facilities and Administrative Costs	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	26%	26%	26%	26%
F&A Cost Base 1	\$212,890	\$209,279	\$205,885	\$188,763
F&A Costs 1	\$55,351	\$54,413	\$53,530	\$49,078