



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 1R01AI148843-01 REVISED
FAIN: R01AI148843

Principal Investigator(s):
Socrates Herrera Valencia, MD

Project Title: Discovery and preclinical evaluation of Plasmodium falciparum and P. vivax coiled coil antigens for malaria vaccine development

Dr. Herrera Valencia, Socrates
DIRECTOR
CARRERA 37 2 BIS # 5E - 08 OF 201
CALI,
COL

Award e-mailed to: Redacted by agreement@inmuno.org

Period Of Performance:
Budget Period: 01/03/2020 – 12/31/2020
Project Period: 01/03/2020 – 12/31/2023

Dear Business Official:

The National Institutes of Health hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to CAUCASECO SCIENTIFIC RESEARCH CENTER 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 Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI148843. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

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

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

Sincerely yours,

Redacted by agreement

Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 1R01AI148843-01 REVISED**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$77,308
Personnel Costs (Subtotal)	\$77,308
Consultant Services	\$130,000
Equipment	\$47,594
Materials & Supplies	\$4,125
Travel	\$10,300
Other	\$22,130
Subawards/Consortium/Contractual Costs	\$142,632
Publication Costs	\$2,800

Federal Direct Costs	\$436,889
Federal F&A Costs	\$21,733
Approved Budget	\$458,622
Total Amount of Federal Funds Obligated (Federal Share)	\$458,622
TOTAL FEDERAL AWARD AMOUNT	\$458,622

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$0

SUMMARY TOTALS FOR ALL YEARS			
YR	THIS AWARD		CUMULATIVE TOTALS
1		\$458,622	\$458,622
2		\$382,571	\$382,571
3		\$319,458	\$319,458
4		\$350,504	\$350,504

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

Fiscal Information:

CFDA Name: Allergy and Infectious Diseases Research
CFDA Number: 93.855
EIN: 1900217032A1
Document Number: RAI148843A
PMS Account Type: B (Subaccount)
Fiscal Year: 2020

IC	CAN	2020	2021	2022	2023
AI	8472350	\$458,622	\$382,571	\$319,458	\$350,504

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

NIH Administrative Data:

PCC: M92 / **OC:** 41021 / **Released:** eRA Commons User Name 07/28/2020
Award Processed: 07/29/2020 12:01:32 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01AI148843-01 REVISED

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 – 1R01AI148843-01 REVISED

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 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. 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.)

Research and Development (R&D): All awards issued by the National Institutes of Health (NIH) meet the definition of "Research and Development" at 45 CFR Part§ 75.2. As such, auditees should identify NIH awards as part of the R&D cluster on the Schedule of Expenditures of Federal Awards (SEFA). The auditor should test NIH awards for compliance as instructed in Part V, Clusters of Programs. NIH recognizes that some awards may have another classification for purposes of indirect costs. The auditor is not required to report the disconnect (i.e., the award is classified as R&D for Federal Audit Requirement purposes but non-research for indirect cost rate purposes), unless the auditee is charging indirect costs at a rate other than the rate(s) specified in the award document(s).

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

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 System for Award Management (SAM). 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) R01AI148843. 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/>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

Treatment of Program Income:

SECTION IV – AI Special Terms and Conditions – 1R01AI148843-01 REVISED

Clinical Trial Indicator: No

This award does not support any NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

REVISED AWARD #1: This award is revised to correct the carryover coding to "Yes".

Supersedes previous Notice of Award dated **01/03/2020**. All other terms and conditions still apply to this award.

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The budget period anniversary start date for future year(s) will be **JANUARY 1**.

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This Notice of Award (NoA) includes funds for activity with **MALARIA VACCINE AND DRUG DEVELOPMENT CENTER / COLOMBIA** in the amount of **\$142,632** (\$132,067 direct costs + \$10,565 F&A costs).

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In accordance with the NIAID Financial Management Plan, NIAID does not provide funds for inflationary increases. Committed future year (s) funding was adjusted accordingly. See: <https://www.niaid.nih.gov/grants-contracts/financial-management-plan>.

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NIH foreign grant recipients are subject to the same audit requirements as for-profit domestic grant recipients. Audit Requirements: 45 CFR 75.501 (h) through 75.501 (j) requires a foreign grant recipient to have a non-Federal audit if, during its fiscal year, it expends a total of \$750,000 or more in HHS awards. Audit Types: Foreign recipients have two options regarding audits. (1) A financial related audit (as defined in the Government Auditing Standards known as the "Yellow Book", GPO Stock #020-000-00-265-4), of a particular award in accordance with Government Auditing Standards, in those cases where the foreign recipient receives awards under only one HHS program; or, if awards are received under multiple HHS programs, a financial related audit of all HHS awards in accordance with Government Auditing Standards; or (2) An audit that meets the requirements of 45 CFR 75, Subpart F-Audit Requirements.

The Government Auditing Standards are available electronically at <http://www.gao.gov/assets/80/76968.pdf> . Audits must be completed and submitted to the **National External Audit Review Center** within 30 days after receipt of the auditor's report(s), or nine months after the end of audit period, i.e., the end of organization's fiscal year, whichever is earlier. Send the audit to the following address:

Department of Health and Human Services
Office of the Inspector General
Office of Audit Services
National External Audit Review Center
1100 Walnut St, Suite 850
Kansas City, MO 64106-2197

Phone contact: 800-732-0679 or 816-426-7720

NOTE: Foreign recipient organizations that receive annual HHS awards totaling less than \$750,000 are exempt from requirements for a non-Federal audit for that year, but must make their grant-related records available to NIH or other designated officials for review or audit.

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The Research Performance Progress Report (RPPR), Section G.9 (Foreign component), includes reporting requirements for all research performed outside of the United States. Research conducted at the following site(s) must be reported in your RPPR:

- UNIVERSIDAD DEL VALLE
- CAUCASECO SCIENTIFIC RESEARCH CENTER
- Université Montpellier
- UNIVERSITY OF LAUSANNE

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This award reflects current Federal policies regarding Facilities & Administrative (F&A) Costs for foreign grantees including foreign sub-awardees, and domestic awards with foreign sub-awardees. Please see: Chapter 16 Grants to Foreign Organizations, International Organizations, and Domestic Grants with Foreign Components, Section 16.6 "Allowable and Unallowable Cost" of the NIH Grants Policy.

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This award may include collaborations with and/or between foreign organizations. Please be advised that short term travel visa expenses are an allowable expense on this grant, if justified as critical and necessary for the conduct of the project.

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Annual Federal Financial Reports (Form SF425) are required from foreign grantees. The Federal Financial Report form is available at: <http://grants.nih.gov/grants/forms.htm>

All Financial Status Reports must be submitted electronically via the NIH Commons available at <https://commons.era.nih.gov/commons/>. To register in the NIH Commons go to the following web site <https://commons.era.nih.gov/commons/>

Additional information on electronic submission of Federal Financial Reports is available at the Commons Homepage or by contacting the eRA Helpdesk at: commons@od.nih.gov or (866) 504-9552.

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No funds in this award shall be used to pay the salary of an individual at a rate per year in excess of the amounts reflected in the following NIH Guide Notice <https://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-099.html> .Therefore, this award and/or future years are adjusted accordingly, if applicable.

## 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:** Redacted by agreement  
**Email:** Redacted by agreement@nih.gov **Phone:** 240-669-2983 **Fax:** 301-493-0597

**Program Official:** Redacted by agreement  
**Email:** Redacted by agreementniaid.nih.gov **Phone:** 240-627-3420

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 1R01AI148843-01 REVISED

**INSTITUTION:** CAUCASECO SCIENTIFIC RESEARCH CENTER

| Budget                                 | Year 1    | Year 2    | Year 3    | Year 4    |
|----------------------------------------|-----------|-----------|-----------|-----------|
| Salaries and Wages                     | \$77,308  | \$77,308  | \$77,308  | \$69,458  |
| Personnel Costs (Subtotal)             | \$77,308  | \$77,308  | \$77,308  | \$69,458  |
| Consultant Services                    | \$130,000 | \$110,000 | \$50,000  | \$80,000  |
| Equipment                              | \$47,594  |           |           |           |
| Materials & Supplies                   | \$4,125   | \$4,800   | \$4,250   | \$5,100   |
| Travel                                 | \$10,300  | \$10,294  | \$11,386  | \$9,550   |
| Other                                  | \$22,130  | \$16,130  | \$16,750  | \$19,500  |
| Subawards/Consortium/Contractual Costs | \$142,632 | \$142,632 | \$142,632 | \$147,527 |
| Publication Costs                      | \$2,800   | \$3,634   | \$4,034   | \$4,334   |
| TOTAL FEDERAL DC                       | \$436,889 | \$364,798 | \$306,360 | \$335,469 |
| TOTAL FEDERAL F&A                      | \$21,733  | \$17,773  | \$13,098  | \$15,035  |
| TOTAL COST                             | \$458,622 | \$382,571 | \$319,458 | \$350,504 |

| Facilities and Administrative Costs | Year 1    | Year 2    | Year 3    | Year 4    |
|-------------------------------------|-----------|-----------|-----------|-----------|
| F&A Cost Rate 1                     | 8%        | 8%        | 8%        | 8%        |
| F&A Cost Base 1                     | \$271,663 | \$222,166 | \$163,728 | \$187,942 |
| F&A Costs 1                         | \$21,733  | \$17,773  | \$13,098  | \$15,035  |

|                                                                                                                                       |                                                                                                                                        |                                                    |
|---------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------|
| PI: <b>Herrera Valencia, Socrates</b>                                                                                                 | Title: Discovery and preclinical evaluation of Plasmodium falciparum and P. vivax coiled coil antigens for malaria vaccine development |                                                    |
| Received: 02/05/2019                                                                                                                  | FOA: PA19-077<br>Clinical Trial: Not Allowed                                                                                           | Council: 10/2019                                   |
| Competition ID: FORMS-E                                                                                                               | FOA Title: Accelerating Malaria Vaccine Discovery (R01 Clinical Trial Not Allowed)                                                     |                                                    |
| <b>1 R01 AI148843-01</b>                                                                                                              | Dual:                                                                                                                                  | Accession Number: 4263871                          |
| IPF: 10024390                                                                                                                         | Organization: CAUCASECO SCIENTIFIC RESEARCH CENTER                                                                                     |                                                    |
| Former Number:                                                                                                                        | Department:                                                                                                                            |                                                    |
| IRG/SRG: VMD                                                                                                                          | AIDS: N                                                                                                                                | Expedited: N                                       |
| <u>Subtotal Direct Costs</u><br>(excludes consortium F&A)<br>Year 1: 426,324<br>Year 2: 360,491<br>Year 3: 306,004<br>Year 4: 338,480 | Animals: Y<br>Humans: Y<br>Clinical Trial: N<br>Current HS Code <input type="text" value="Evaluative info"/><br>HESC: N                | New Investigator: N<br>Early Stage Investigator: N |
| <i>Senior/Key Personnel:</i>                                                                                                          |                                                                                                                                        |                                                    |
| <i>Organization:</i>                                                                                                                  | <i>Role Category:</i>                                                                                                                  |                                                    |
| Socrates Herrera Valencia M.D.                                                                                                        | CAUCASECO SCIENTIFIC RESEARCH CENTER                                                                                                   | PD/PI                                              |
| Redacted by agreement                                                                                                                 | MALARIA VACCINE AND DRUG DEVELOPMENT CENTER MVDC                                                                                       | Co-Investigator                                    |
|                                                                                                                                       | University of Lausanne                                                                                                                 | Consultant                                         |
|                                                                                                                                       | CENTRE NATIONAL DE LA RECHERCHE SCIENTIFIQUE (CNRS)                                                                                    | Consultant                                         |
|                                                                                                                                       | LABORATORY OF MALARIA AND VECTOR RESEARCH NIAID/NIH                                                                                    | Consultant                                         |