



Recipient Information	Federal Award Information
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1. Recipient Name
CENTRO DE INVESTIGACION CIENTIFICA
CAUCASECO LTDA
CARRERA 37 2 BIS 5 E 08

CALI, VALLE COL

2. Congressional District of Recipient

3. Payment System Identifier (ID)
1900217032A1

4. Employer Identification Number (EIN)
900217032

5. Data Universal Numbering System (DUNS)
881960108

6. Recipient's Unique Entity Identifier

7. Project Director or Principal Investigator
Socrates Herrera Valencia, MD
President
sherrera@inmuno.org
Redacted by agreement

8. Authorized Official
Dr. Socrates Herrera Valencia
sherrera@inmuno.org
Redacted by agreement

11. Award Number
1U01AI155363-01

12. Unique Federal Award Identification Number (FAIN)
U01AI155363

13. Statutory Authority
42 USC 241 31 USC 6305 42 CFR 52

14. Federal Award Project Title
DISCOVERY AND PRECLINICAL DEVELOPMENT OF EFFICACIOUS P. vivax PRE-ERYTHROCYTIC STAGE MALARIA VACCINES

15. Assistance Listing Number
93.855

16. Assistance Listing Program Title
Allergy and Infectious Diseases Research

17. Award Action Type
New Competing

18. Is the Award R&D?
Yes

Federal Agency Information

9. Awarding Agency Contact Information
Redacted by agreement

NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES
Redacted by agreement @nih.gov
301-435-2860

10. Program Official Contact Information
Redacted by agreement
Program Official
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES
Redacted by agreement @niaid.nih.gov
240-627-3420

Summary Federal Award Financial Information	
19. Budget Period Start Date 11/20/2020 – End Date 10/31/2021	
20. Total Amount of Federal Funds Obligated by this Action	\$583,695
20a. Direct Cost Amount	\$549,837
20b. Indirect Cost Amount	\$33,858
21. Authorized Carryover	\$0
22. Offset	\$0
23. Total Amount of Federal Funds Obligated this budget period	\$583,695
24. Total Approved Cost Sharing or Matching, where applicable	\$0
25. Total Federal and Non-Federal Approved this Budget Period	\$583,695

26. Project Period Start Date 11/20/2020 – End Date 10/31/2025	
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$583,695

28. Authorized Treatment of Program Income
Additional Costs

29. Grants Management Officer - Signature
Redacted by agreement

30. Remarks
Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.



RESEARCH PROJECT COOPERATIVE AGREEMENT

Department of Health and Human Services
National Institutes of Health



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

SECTION I – AWARD DATA – 1U01AI155363-01

Principal Investigator(s):

Socrates Herrera Valencia, MD

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

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$583,695 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to CENTRO DE INVESTIGACION CIENTIFICA CAUCASECO LTDA in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 31 USC 6305 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 recipient when funds are drawn down or otherwise requested 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 U01AI155363. 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 direct questions to the Federal Agency contacts.

Sincerely yours,

Redacted by agreement

Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

Cumulative Award Calculations for this Budget Period (U.S. Dollars)

Salaries and Wages	\$153,091
Personnel Costs (Subtotal)	\$153,091
Consultant Services	\$150,506
Equipment	\$12,294
Materials & Supplies	\$74,540
Travel	\$20,090
Subawards/Consortium/Contractual Costs	\$139,316

Federal Direct Costs	\$549,837
Federal F&A Costs	\$33,858
Approved Budget	\$583,695
Total Amount of Federal Funds Obligated (Federal Share)	\$583,695
TOTAL FEDERAL AWARD AMOUNT	\$583,695

AMOUNT OF THIS ACTION (FEDERAL SHARE) \$583,695

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)			
YR	THIS AWARD		CUMULATIVE TOTALS
1		\$583,695	\$583,695
2		\$579,640	\$579,640
3		\$582,163	\$582,163
4		\$580,050	\$580,050
5		\$576,600	\$576,600

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

Fiscal Information:

Payment System Identifier: 1900217032A1
Document Number: UAI155363A
PMS Account Type: B (Subaccount)
Fiscal Year: 2021

IC	CAN	2021	2022	2023	2024	2025
AI	8472302	\$583,695	\$579,640	\$582,163	\$580,050	\$576,600

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

NIH Administrative Data:

PCC: M92 / **OC:** 41026 / **Released:** [Redacted by agreement] 1/09/2020
Award Processed: 11/19/2020 01:01:17 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1U01AI155363-01

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 – STANDARD TERMS AND CONDITIONS – 1U01AI155363-01

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).

Carry over of an unobligated balance into the next budget period requires 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) U01AI155363. 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:
Additional Costs

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.

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

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This award is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the Terms and Conditions of Award as set forth in Section VI: Award Administrative Information of **RFA AI-19-059, “Accelerating Discovery of Efficacious Pre-erythrocytic Stage Malaria Vaccines (U01 Clinical Trial Not Allowed)”** posted date **10/11/2019**, which are hereby incorporated by reference as special terms and conditions of this award.

This RFA may be accessed at: <http://grants.nih.gov/grants/guide/index.html>

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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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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:

**Malaria Vaccine Development Center, COLOMBIA**  
**University of Montpellier, FRANCE**  
**Alpha-O Peptides, SWITZERLAND**  
**University of Lausanne, SWITZERLAND**

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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

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.

SPREADSHEET SUMMARY

AWARD NUMBER: 1U01AI155363-01

INSTITUTION: CENTRO DE INVESTIGACION CIENTIFICA CAUCASECO LTDA

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$153,091	\$148,037	\$159,326	\$182,140	\$209,392
Personnel Costs (Subtotal)	\$153,091	\$148,037	\$159,326	\$182,140	\$209,392
Consultant Services	\$150,506	\$150,714	\$152,588	\$127,023	\$64,749
Equipment	\$12,294	\$30,000			
Materials & Supplies	\$74,540	\$60,154	\$66,433	\$48,942	\$53,708
Travel	\$20,090	\$13,694	\$19,748	\$13,694	\$5,300
Subawards/Consortium/Contractual Costs	\$139,316	\$147,233	\$147,180	\$173,340	\$216,799
Publication Costs			\$4,667	\$4,784	
TOTAL FEDERAL DC	\$549,837	\$549,832	\$549,942	\$549,923	\$549,948
TOTAL FEDERAL F&A	\$33,858	\$29,808	\$32,221	\$30,127	\$26,652
TOTAL COST	\$583,695	\$579,640	\$582,163	\$580,050	\$576,600

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	8%	8%	8%	8%	8%
F&A Cost Base 1	\$423,227	\$372,599	\$402,762	\$376,583	\$333,149
F&A Costs 1	\$33,858	\$29,808	\$32,221	\$30,127	\$26,652