InfoEd#: 20180440

FDP Cost Reimbursement Foreign Research Subaward Agreement

Federal Awarding Agency: National Institutes of Health (NIH)

Pass-Through Entity (PTE):	Subrecipient:
University of Connecticut Health Center	Masaryk University
PTE PI: [redacted]	Sub PI: [redacted]
PTE Federal Award No: U19 AI144177	Subaward No: UCHC7-121268499

Project Title: A Global Syphilis Vaccine Targeting Outer Membrane Proteins of Treponema pallidum.

Subaward Period of Performance (Budget Period): Start: 05/01/2019 End: 04/30/2020	Amount Funded This Action (USD): $ 58,050.00
Estimated Project Period (if incrementally funded): Start: 05/01/2019 End: 04/30/2024	Incrementally Estimated Total (USD): $ 325,056.00

Terms and Conditions

1. PTE hereby awards a cost reimbursable Subaward, as described above, to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE. No Party has the authority to bind any other Party in contract or to incur any debts or obligations on behalf of any other Party, and no Party (including an employee or other representative of such Party) shall take any action that attempts or purports to bind any other Party in contract or to incur any debt or obligations on behalf of any other Party, without the affected party's prior written approval.
2. Subrecipient shall submit invoices Quarterly for allowable costs incurred. All invoices shall be submitted using PTE's standard invoice shown in Attachment 6, and shall include current and cumulative costs (including cost sharing information if applicable), Subaward number, and certification, as required in 2 CFR 200.415 (a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the party's Authorized Official Contact, shown in Attachment 3A. Expenditures of Subrecipient shall conform to budget in Attachment 5. All payments will be in U.S. Dollars.
3. A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to PTE's Financial Contact, as shown in Attachment 3A, NO LATER THAN 30 Days after Subaward end date. The final statement of costs shall constitute Subrecipient's final financial report.
4. All payments shall be considered provisional and subject to adjustment within the total estimated cost, in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305.
5. Matters concerning the technical performance of this Subaward Agreement shall be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4:"Reporting Requirements"
6. Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward Agreement and any changes requiring prior approval, shall be directed to the appropriate party's Authorized Official Contact, as shown in Attachments 3A and 3B. Any such change made to this Subaward requires the written approval of each party's Authorized Official, as shown in Attachments 3A and 3B.
7. The PTE may issue non-substantive changes (defined as: documentation of prior approvals, addition of non-competing continuation budget periods / funds and no cost extensions) to the Period of Performance and budget Bilaterally . Unilateral modifications shall be considered valid 14 days after receipt, unless otherwise indicated by Subrecipient. Requests for No Cost Extensions are as shown in Attachment 2.
8. 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.
9. Either Party may terminate this Subaward Agreement with 30 days written notice to the appropriate Party's Authorized Official Contact, as shown in Attachments 3A and 3B. PTE shall pay Subrecipient for termination costs as allowable under Uniform Guidance, 2 CFR 200, or 45 CFR Part 75 Appendix IX, "Principles for Determining Costs Applicable to Research & Development under Grants and Contracts with Hospitals" as applicable.
10. No Party shall be in default by reason of any failure in performance of this Subaward if such failure arises, directly or indirectly, out of causes reasonably beyond the direct control or foreseeability of such Party, including but not limited to, acts of God or of the public enemy, U.S. or foreign governmental acts in either a sovereign or contractual capacity, labor, fire, flood, epidemic and strikes.
11. By signing this Subaward, including the attachments hereto which are hereby incorporated by reference, Subrecipient certifies that it will perform the Statement of Work in accordance with the terms and conditions of this Subaward and the applicable terms of the Federal Award, including the appropriate Research Terms and Conditions ("RTCs") of the Federal Awarding Agency, as referenced in Attachment 2. The parties further agree that they intend this Subaward to comply with all applicable laws, regulations and requirements.

By an Authorized Official of Pass-through Entity:	By an Authorized Official of Subrecipient:
[redacted]	[redacted]
Name: [redacted] Date: 10/22/19	Name: prof. MARTIN BARES Date: [illegible] 2019
Title: [illegible]	Title: Rector

Attachment 1
Certifications and Assurances

Subaward Number:
UCHC7-121268499

By signing the Subaward, the Authorized Official of Subrecipient certifies, to the best of his/her knowledge and belief, that:

Certification Regarding Lobbying (2 CFR 200.450)
No U.S. Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any U.S. Federal contract, the making of any U.S. Federal grant, the making of any U.S. Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any U.S. Federal contract, grant, loan, or cooperative agreement.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the PTE.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than $10,000 and not more than $100,000 for each such failure.

Debarment, Suspension, and Other Responsibility Matters (2 CFR 200.213 and 2 CFR 180)
All foreign institutions and international organizations, except for foreign governments or governmental entities, public international organizations, or foreign-government-owned or -controlled entities (in whole or in part) are subject to the Debarment, Suspension and Other Responsibility Matters.

◉ Subrecipient certifies by signing this Subaward 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 U.S. Federal Department or Agency.

Or

○ Subrecipient is either a foreign government or governmental entity, public international organization, or foreign-government-owned or -controlled entity (in whole or in part); and it IS NOT subject to the debarment or suspension certification requirement or to debarment or suspension under 45 CFR Part 75.

Audit and Access to Records
Subrecipient certifies by signing this Subaward that it complies with the Uniform Guidance, will provide notice of the completion of required audits and any adverse findings which impact this Subaward Agreement as required by parts 200.501- 200.521, and will provide access to records as required by parts 200.336, 200.337, and 200.201 as applicable.

All financial and related documentation, including but not limited to financial reports, invoices, financial audits, or receipts, shall be provided to PTE in English at Subrecipient's expense.

Protecting Life in Global Health Assistance (Mexico City Policy)
Subrecipient certifies that no funds granted under this Subaward will be used to fund organizations or programs that support or participate in the management of a program of coercive abortion or involuntary sterilization. See the NOA, Attachment 2 of this Subaward and/or Federal Awarding Agency's terms and conditions for further details.

☐ This regulation applies to the Federal Award and is flowed down to Subrecipient.

Use of Name
Neither party shall use the other party's name, trademarks, or other logos in any publicity, advertising, or news release without the prior written approval of an authorized representative of that party. The parties agree that each party may use factual information regarding the existence and purpose of the relationship that is the subject of this Subaward for legitimate business purposes, to satisfy any reporting and funding obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described.

Foreign Corrupt Practices
Subrecipient agrees to use funds in compliance with (1) the U.S. Foreign Corrupt Practices Act; (2) Subrecipient agrees that, under this Subaward, it will not offer, promise, or provide (or authorize the offer, promise, or provision of), directly or indirectly, anything of value to any government official, political party official, political candidate, or employee thereof, or to any other third party, for the purpose of obtaining or retaining business or obtaining any illegal benefit or advantage.

Export Controls
Each Party is responsible for determining whether its performance is subject to, and in compliance with, U.S. export control laws and regulations ("U.S. Export Controls"), including but not limited to the Export Administration Regulations - EAR (Department of Commerce), the International Traffic in Arms Regulations - ITAR (Department of State), the sanctions programs embodied in regulations administered by the Department of the Treasury's Office of Foreign Assets Control (OFAC), the U.S. anti-boycott laws and regulations (EAA) and U.S. anti-terrorism financing laws and regulations.

☐ Attachment 8 of this Subaward includes additional applicable terms related to Export Controls.

The Subrecipient shall require that the language of the certifications above in this Attachment 1 be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

Attachment 2
Federal Award Terms and Conditions

Subaward Number: UCHC7-121268499

Required Data Elements

The data elements required by Uniform Guidance are incorporated in the attached Federal Award.

Federal Award Issue Date	FAIN	CFDA No.

CFDA Title:

Key Personnel Per NOA:

This Subaward Is:

■ Research & Development ■ Subject to FFATA

General Terms and Conditions

By signing this Subaward, Subrecipient agrees to the following:

1. To abide by the conditions on activities and restrictions on expenditure of federal funds in appropriations acts that are applicable to this Subaward to the extent those restrictions are pertinent. This includes any recent legislation noted on the Federal Awarding Agency's website:
   http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf
2. 2 CFR 200 and 45 CFR Part 75.
3. The Federal Awarding Agency's grants policy guidance, including addenda in effect as of the beginning date of the period of performance or as amended found at:
   http://grants.nih.gov/policy/notices.htm
4. Research Terms and Conditions, including any Federal Awarding Agency's Specific Requirements found at:
   https://www.nsf.gov/awards/managing/rtc.jsp except for the following :
   a. No-cost extensions require the written approval of the PTE. Any requests for a no-cost extension shall be directed to the Principal Investigator Contact shown in Attachment 3A, not less than 30 Days prior to the desired effective date of the requested change.
   b. Any payment mechanisms and financial reporting requirements described in the applicable Federal Awarding Agency Terms and Conditions and Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this Subaward; and
   c. Any prior approvals are to be sought from the PTE and not the Federal Awarding Agency.
   d. Title to equipment as defined in 2 CFR 200.33 that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall vest in the Subrecipient subject to the conditions specified in 2 CFR 200.313.
   e. Prior approval must be sought for a change in Subrecipient PI or change in Key Personnel (defined as listed on the NOA).
5. Treatment of program income: Additive

Multiple PIs (MPI)

? This subaward is not subject to an MPI Leadership Plan.

Special Terms and Conditions:

Copyrights:

Subrecipient Grants to PTE an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

Subrecipient grants to PTE the right to use any written progress reports and deliverables created under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its Federal Award.

Data Rights:

Subrecipient grants to PTE the right to use data created in the performance of this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

Data Sharing and Access (Check if applicable):

■ Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and access requirements as reflected in the NOA (or in the special terms below) and the Data Management/Sharing Plan submitted to the Federal Awarding Agency and attached.

Governing Language:
In the event that a translation of this Subaward is prepared and signed by the parties, and a conflict arises between the English version and other language version, this English language version shall be the official version and shall govern and control.

Governing Law:
The Parties acknowledge that PTE is subject to the laws of the United States. The parties hereby agree that nothing in this Subaward or any of its attachments or references shall be deemed to require either Party to breach any mandatory statutory law under which each Party is operating.

Patents:
Pursuant to Public Law 96-517, as amended by Public law 98-620, title to any invention or discovery made or conceived under this Subaward shall vest in the Subrecipient. Subrecipient shall promptly notify PTE as shown in Attachment 4 hereto.

Subrecipient hereby grants to PTE a royalty-free, non-exclusive license for research purposes to any Subrecipient invention or discovery under this Subaward.

Second Tier Subawards:
Subrecipient may not issue any subawards under this Subaward without the express prior written consent of PTE. In the event that such consent is granted, all assurances, certifications, and terms included in this Subaward shall be flowed down to the second tier subaward.

Disputes:
The Parties shall attempt to resolve disputes through good faith negotiations. Any dispute arising under, or related to, this Subaward shall be resolved to the maximum possible extent through informal dispute resolution. Unresolved issues shall be arbitrated in accordance with the International Arbitration Rules of the American Arbitration Association.
Arbitration Association.

Promoting Objectivity in Research (COI):

Subrecipient must designate herein which entity's Financial Conflicts of Interest policy (COI) will apply: PTE

If applying its own COI policy, by execution of this Subaward, Subrecipient certifies that its policy complies with the requirements of the relevant Federal Awarding Agency as identified herein: NIH - 42 CFR Part 50 Subpart F

Subrecipient shall report any financial conflict of interest to PTE's Administrative Representative or COI contact, as designated on Attachment 3A. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to Federal Awarding Agency. Such report shall be made before expenditure of funds authorized in this Subaward and within 45 days of any subsequently identified COI.

Work Involving Human or Vertebrate Animals (Select Applicable Options)

☒ Human Subjects ☐ Vertebrate Animals ☐ No Human or Vertebrate Animals

Subrecipient agrees that any non-exempt human and/or vertebrate animal research protocol conducted under this Subaward shall be reviewed and approved by its Institutional Review Board (IRB) and/or its Institutional Animal Care and Use Committee (IACUC), as applicable and that it will maintain current and duly approved research protocols for all periods of the Subaward involving human and/or vertebrate animal research. Subrecipient certifies that its IRB and/or IACUC are in full compliance with applicable state and federal laws and regulations. The Subrecipient certifies that any submitted IRB / IACUC approval represents a valid, approved protocol that is entirely consistent with the Project associated with this Subaward. In no event shall Subrecipient invoice or be reimbursed for any human or vertebrate animals related expenses incurred in a period where any applicable IRB / IACUC approval is not properly in place.

IRB

Prior to execution of this agreement and annually thereafter

Human Subjects Data (Select One) Applicable

Human Subjects Data will be exchanged under this Subaward (check all that apply):

☒ From Subrecipient to PTE
☒ From PTE to Subrecipient

The PTE will set forth the terms of the exchange of Human Subjects Data (Select One):

In the Additional Terms section below

Additional Terms

The Subrecipient is required to follow the Resource Sharing Plan (Attachment A) and the Genomic Data Sharing Plan (Attachment B) included in the application and may not implement any changes in the plan without the written prior approval of the PTE.

Subrecipient will maintain an active System for Award Management (SAM) registration throughout the life of the subaward. For more information, please visit www.SAM.gov.

To conform to Uniform Guidance Subrecipient Monitoring requirements, the University of Connecticut Health Center will request additional financial information that may include, but is not limited to, system generated ledger financial reports, transactional ledger of all charges posting to an award during an invoice period, and/or supporting documentation for expenditures included on invoices (e.g., vendor invoices, payroll reports, purchase orders, etc.) no less than one time per year. The University of Connecticut Health Center will request this information via email at random throughout the year.

e to request a reconsideration of the additional requirements imposed in the paragraph above, please contact [redacted]

Attachment 3A
Pass-Through Entity (PTE) Contacts

Subaward Number: UCHC7-121268499

PTE Information

Entity DUNS Name: University of Connecticut Health Center

Legal Address:
Office of the Vice President for Research
Sponsored Program Services
263 Farmington Avenue
Farmington, CT 06030-5335

Website: health.uconn.edu

PTE Contacts

Central Email: [redacted]

Principal Investigator Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

Administrative Contact Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

COI Contact email (if different to above): [redacted]

Financial Contact Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

Email invoices? (●) Yes ( ) No Invoice email (if different): [redacted]

Authorized Official Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

PI Address:

UConn Health Center
Department of Medicine
263 Farmington Avenue
Farmington, CT 06030-1237
USA

Administrative Address:

UConn Health Center
Department of Medicine
263 Farmington Avenue
Farmington, CT 06030-1237
USA

Invoice Address:

UConn Health Center
Sponsored Program Services
263 Farmington Avenue
Farmington, CT 06030-5335
USA

Attachment 3B

Research Subaward Agreement

Subrecipient Contacts

Subaward Number: UCHC7-121268499

Subrecipient Information for FFATA reporting

Entity's DUNS Name: Masaryk University

EIN No.:

Institution Type:

DUNS: 366957491

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:

Congressional District:

Zip Code Look-up

Zip Code+4:

Place of Performance Address

Masaryk University
Faculty of Medicine
Department of Biology, building A6
Kamenice 5
625 00 Brno
Czech Republic

Subrecipient Contacts

Central Email: [redacted]

Website: www.muni.cz/en

Principal Investigator Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

Administrative Contact Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

Financial Contact Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

Invoice Email: [redacted]

Authorized Official Name: [redacted]

Email: [redacted] Telephone Number: [redacted]

Legal Address:

Masaryk University
Zerotinovo nam. 9
601 77 Brno
Czech Republic

Administrative Address:

Masaryk University
Faculty of Medicine
Kamenice 5
625 00
Czech Republic

Payment Address:

Masaryk University
Zerotinovo nam. 9
601 77 Brno
Czech Republic

Attachment 3B Page 2

Research Subaward Agreement

Highest Compensated Officers

Subaward Number: UCHC7-121268499

Subrecipient

Entity Name: Masaryk University

PI Name: [redacted]

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:

Attachment 4
Reporting and Prior Approval Terms

Subaward Number: UCHC7-121268499

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3A):

Technical Reports:

☐ Monthly technical/progress reports will be submitted to the PTE's Administrative Contact within 15 days of of the end of the month.

☐ Quarterly technical/progress reports will be submitted within 30 days after the end of each project quarter to the PTE's Administrative Contact

☒ Annual technical / progress reports will be submitted 90 days prior to the end of each budget period to the PTE's Administrative Contact . Such report shall also include a detailed budget for the next Budget Period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.

☒ A Final technical/progress report will be submitted to the PTE's Administrative Contact within 60 days of the end of the Project Period or after termination of this award, whichever comes first.

☒ Technical/progress reports on the project as may be required by PTE's Administrative Contact in order for the PTE to satisfy its reporting obligations to the Federal Awarding Agency.

Prior Approvals:

Carryover:

Carryover is restricted for this subaward by the: Federal Awarding Agency

Submit carryover requests to the Administrative Contact .

Other Reports:

☐ In accordance with 37 CFR 401.14, Subrecipient agrees to notify PTE's Administrative Contact 60 days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Federal Awarding Agency specific forms to the PTE's Administrative Contact within 60 days of the end of the Project Period to be included as part of the PTE's final invention report to the Federal Awarding Agency.

A negative report is required:

☐ Property Inventory Report (only when required by Federal Awarding Agency), specific requirements below.

☒ Each invoice must be accompanied by a brief technical report, and: (i) be sequentially numbered; (ii) indicate the date(s) of performance by the Subrecipient; (iii) state the Purchase Order number, the title of the project and the name of the PTE Principal Investigator; (iv) itemize costs in detail, in accordance with the Subaward budget; (v) include both current costs and cumulative costs; (vi) include the Subrecipient certification, with authorized official's signature, that costs are appropriate and accurate and that payment has not yet been received; and (vii)) be supported by a general ledger report originating directly from the Subrecipient's financial record keeping system. PTE may request supporting documentation in certain categories prior to or subsequent to approving the invoice. Supporting documentation includes, but is not limited to, travel receipts, purchase orders, invoices for services or supplies, or time records, Property Inventory Report; frequency, type, and submission instructions listed here and only to be used when required by PTE Federal Award.

Subaward Number

UCHC7-121268499

Other Special Reporting Requirements:

Carryover of an unobligated balance into the next budget period requires prior approval. A carryover request must be submitted in writing to PTE's Administrative Contact.

Subaward Number: UCHC7-121268499

Attachment 5
Statement of Work, Cost Sharing, Indirects & Budget

Statement of Work

(•) Below ( ) Attached, [ ] pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a *Subrecipient Federal Award Project Description*

• The team at MU will provide genomics analyses of treponemal isolates as well as phylogenetic analyses of treponemal pathogens.
• The team will perform targeted sequencing of OMPs on 50 previously characterized, archived European samples, preselected based on molecular typing results.
• MU will perform targeted sequencing of OMPs on DNA from 20 specimens processed by UNC for quality control assessment and provide DNA samples processed by MU for deep sequencing at UNC.
• The team at MU will also contribute to data analysis and preparation of molecular typing and genomics manuscripts and to training of genomics core and CRC team members.

Budget Information

Indirect Information Indirect Cost Rate (IDC) Applied: 8 %

Rate Type: NIH foreign rate of 8%

Cost Sharing: No

If Yes, include Amount: $

Budget Details

( ) Below (•) Attached, 5 pages

Budget Totals

Direct Costs	$ 53,750.00
Indirect Costs	$ 4,300.00
Total Costs	$ 58,050.00

All amounts are in United States Dollars

Subaward Number:

UCHC7-121268499

Attachment 6

Research Subaward

Invoice

BILL TO: PTE
Attention
Address line 1
Address line
email
Subaward Agreement number

Invoice #:
Invoice Date:
Contract/Award#:
Federal ID #:

Contract Term:

Start Date: End Date:

Period Covered By This Invoice:

From: To:

EXPENDITURES		BUDGETED	CURRENT	CUMULATIVE
SALARIES AND WAGES				
FRINGE BENEFITS				
EQUIPMENT				
MATERIALS				
PUBLICATION COSTS				
OTHER (Specify)				
TUITION				
F&A base	%			
TOTALS				
LESS ADVANCES			–	
TOTAL DUE THIS INVOICE				

CERTIFICATION: **Certification and Authorized Signature Must Be on Every Invoice**

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Prime Award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise.

Subrecipient Authorized Officer (Signature) *Title* Date

REMIT TO ADDRESS

PAYMENT AUTHORIZATION:

The subrecipient has demonstrated satisfactory project performance and progress, and the charges represented on this invoice appear to be appropriate with that progress. As Principal Investigator, I approve this payment.

PTE's Authorized Signature

Subaward Number:
UCHC7-121268499

Attachment 6, Page 2

Research Subaward

Contributions to Project

Complete only if cost share or matching is required by the Subaward.

Period Covered by this Cost Share report _____ ***to*** _____

EXPENDITURES		BUDGETED	CURRENT	CUMULATIVE
SALARIES AND WAGES				
FRINGE BENEFITS				
EQUIPMENT				
MATERIALS				
PUBLICATION COSTS				
OTHER (Specify)				
TUITION				
F&A base	%			
TOTAL CONTRIBUTIONS				

CERTIFICATION:

I certify that the funds contributed to this PTE project or projects listed above were expended, and do not and will not duplicate any requests for reimbursement of costs or services from the PTE.

_____

Signature of Authorized Officer

Attachment A

RESOURCE SHARING PLAN

We are committed to sharing the findings and resources developed during this proposal with the scientific community. We will share data in several different ways. We wish to make our results available to the community of scientists interested in syphilis to avoid unintentional duplication of research. Additionally, we would welcome collaboration with any researcher to make use of the methods and techniques used in the core.

Publications and presentations at national meetings: All findings and data will be published in peer-reviewed journals and presented at scientific meetings to ensure dissemination of results to the scientific community. We will make every effort to complete this in a timely manner.

Sequence Data: This project will be generating vast quantities of sequencing data. All raw next generation sequencing reads will be deposited into readily available public archives [such as NCBI's Short Read Archive (SRA)]. Any additional sequencing data from Sanger sequencing will be deposited in Genbank. All data will be released at the time of publication or six months after completing analysis, whichever is earlier. This is in compliance with NIH's Genomic Data Sharing policy.

Attachment B

GENETICS AND GENOMICS CORE
AUTHENTICATION OF KEY BIOLOGICAL AND/OR CHEMICAL RESOURCES

We will ensure the optimal quality and reproducibility of our research by employing a rigorous and comprehensive approach.

DNA extracted from clinical samples: All DNA from clinical samples will be handled in a manner to ensure sample integrity. Frozen DNA will be shipped on cold packs using overnight express shipping from clinical sites to the University of North Carolina (UNC) every 6 months and immediately stored at -80C, using a freezer bank with generator backup and a real-time temperature monitoring system, until sample processing. Archived DNA from European isolates is currently stored under these conditions at Masaryk University (MU).

Genome sequencing: We will use high quality reagents purchased in bulk for sequence generation, including Illumina library preparation kits from Kappa. In order to prevent lane bias in our sequencing, we will ensure that each isolate is sequenced across multiple lanes. In addition, 10% of samples will undergo technical replicate analysis (from the same biologic sample) and 10% will undergo biologic replicate analysis (from a different biologic sample). These will be used to assess for biases in variant calling. As described in the methods, we will also employ a rigorous quality control approach that includes shipping DNA from 10% of sequenced samples to the other Genetics and Genomics Core lab (UNC to MU, and vice versa).

All other reagents and chemical resources (e.g., PCR reagents, laboratory consumables, etc.) are standard for routine use in a laboratory and are exempt from inclusion in this plan.

Subaward Number:
UCHC7-121268499

Attachment 7

Notice of Award (NOA) and any additional documents

◉ The following pages include the NOA and if applicable any additional documentation referenced throughout this Subaward.

○ Not incorporating the NOA or any additional documentation to this Subaward.

Notice of Award

RESEARCH PROJECT COOPERATIVE AGREEMENT **Federal Award Date:** 06/11/2019

Department of Health and Human Services
National Institutes of Health

NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 1U19AI144177-01 REVISED
FAIN: U19AI144177

Principal Investigator(s):
[redacted]

Project Title: A Global Syphilis Vaccine Targeting Outer Membrane Proteins of Treponema pallidum.

Hudobenko, Paul
Sponsored Program Specialist
263 Farmington Avenue
Farmington, CT 060305335

Award e-mailed to: Grantaward@uchc.edu

Period Of Performance:
Budget Period: 05/01/2019 – 04/30/2020
Project Period: 05/01/2019 – 04/30/2024

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect an increase in the amount of $1,255 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF CONNECTICUT HEALTH CENTER 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 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 U19AI144177. 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,

Regina E. Kitsoulis
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 1U19AI144177-01 REVISED

Award Calculation (U.S. Dollars)

[redacted]

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

NIH Administrative Data:
PCC: M37E / **OC**: 414L / **Released**: KITSOULISR 06/10/2019
Award Processed: 06/11/2019 12:01:32 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1U19AI144177-01 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 – 1U19AI144177-01 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).

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) U19AI144177. 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

SECTION IV – AI Special Terms and Conditions – 1U19AI144177-01 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: This award is revised to update the link in the term regarding the salaries of individuals at a rate per year in excess of the amounts reflected in the most recent NIH Guide Notice. The budget of this award and/or future years have been adjusted accordingly, with the new amounts reflected in the following NIH Guide Notice:https://grants.nih.gov/grants/guide/notice-files/NOT-OD-18-137.htmlhttps://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-099.html.

Supercedes previous Notice of Award dated **04/30/2019.** All other terms and conditions still apply to this award.

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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-18-005**, "**Sexually Transmitted Infections (STI) Cooperative Research Centers (CRC): Vaccine Development (U19 Clinical Trial Not Allowed),"** posted date **05/15/2018**, 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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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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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-18-137.htmlhttps://grants.nih.gov/grants/guide/notice-files/NOT-OD-19-099.html .Therefore, this award and/or future years are adjusted accordingly, if applicable.

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[redacted]

This Notice of Award (NoA) includes funds for activity with **Masarykova Univerzita CZECH REPUBLIC** in the amount of **$58,050** (**$53,750** direct costs + **$4,300** F&A costs).

[redacted]

[redacted]

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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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Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated in page **303** of the application. Failure to adhere to the sharing plan as mutually agreed upon by the Recipient and the NIAID may result in Enforcement Actions as described in the NIH Grants Policy Statement.

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]
Email: [redacted] **Phone**: [redacted] **Fax**: [redacted]

Program Official: [redacted]
Email: [redacted]: [redacted]

SPREADSHEET SUMMARY
GRANT NUMBER: 1U19AI144177-01 REVISED

INSTITUTION: UNIVERSITY OF CONNECTICUT HEALTH CENTER

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
[redacted]					

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4	Year 5

Subaward Number:
UCHC7-121268499

Attachment 8

Research Subaward

Export Controls

List any Export Controls that apply to this Subaward here. Leave this blank if not applicable.