



**Recipient Information**

- 1. Recipient Name**  
ECOHEALTH ALLIANCE INC.  
520 8TH AVE RM 1200  
  
NEW YORK, NY 10018
- 2. Congressional District of Recipient**  
12
- 3. Payment System Identifier (ID)**  
1311726494A1
- 4. Employer Identification Number (EIN)**  
311726494
- 5. Data Universal Numbering System (DUNS)**  
077090066
- 6. Recipient's Unique Entity Identifier**
- 7. Project Director or Principal Investigator**  
Peter Daszak, PHD  
Executive Director  
[Redacted] (b) (6)  
[Redacted] (b) (6)
- 8. Authorized Official**  
Dr. Peter Daszak  
[Redacted] (b) (6)  
[Redacted] (b) (6)  
[Redacted] (b) (6)

**Federal Award Information**

- 11. Award Number**  
5U01AI151797-02
- 12. Unique Federal Award Identification Number (FAIN)**  
U01AI151797
- 13. Statutory Authority**  
42 USC 241 31 USC 6305 42 CFR 52
- 14. Federal Award Project Title**  
Understanding Risk of Zoonotic Virus Emergence in EID Hotspots of Southeast Asia
- 15. Assistance Listing Number**  
93.855
- 16. Assistance Listing Program Title**  
Allergy and Infectious Diseases Research
- 17. Award Action Type**  
Non-Competing Continuation
- 18. Is the Award R&D?**  
Yes

**Summary Federal Award Financial Information**

<b>19. Budget Period Start Date 06/01/2021 – End Date 05/31/2022</b>	
<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$1,505,568
20 a. Direct Cost Amount	\$1,348,346
20 b. Indirect Cost Amount	\$157,222
<b>21. Authorized Carryover</b>	\$0
<b>22. Offset</b>	\$0
<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$1,505,568
<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0
<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$1,505,568
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<b>26. Project Period Start Date 06/17/2020 – End Date 05/31/2025</b>	
<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b>	\$3,052,312

**Federal Agency Information**

- 9. Awarding Agency Contact Information**  
Shaun W Gratton  
Grants Management Specialist  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES  
[Redacted] (b) (6)  
[Redacted] (b) (6)
- 10. Program Official Contact Information**  
Jean Lois Patterson  
  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES  
[Redacted] (b) (6)  
[Redacted] (b) (6)

- 28. Authorized Treatment of Program Income**  
Additional Costs
- 29. Grants Management Officer - Signature**  
Gregory P. Smith

**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.



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**SECTION I – AWARD DATA – 5U01AI151797-02**

**Principal Investigator(s):**

Peter Daszak, PHD

**Award e-mailed to:** [REDACTED] (b) (6)

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$1,505,568 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to EcoHealth Alliance 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 U01AI151797. 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,

Gregory P. Smith  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

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



Salaries and Wages	\$272,729
Fringe Benefits	\$96,545
Personnel Costs (Subtotal)	\$369,274
Consultant Services	\$29,976
Materials & Supplies	\$917
Travel	\$72,168
Other	\$11,991
Subawards/Consortium/Contractual Costs	\$857,026
Publication Costs	\$6,994

Federal Direct Costs	\$1,348,346
Federal F&A Costs	\$157,222
Approved Budget	\$1,505,568
Total Amount of Federal Funds Authorized (Federal Share)	\$1,505,568
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$1,505,568</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** \$1,505,568

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
2	\$1,505,568	\$1,505,568
3	\$1,504,400	\$1,504,400
4	\$1,503,220	\$1,503,220
5	\$1,502,037	\$1,502,037

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

**Fiscal Information:**

Payment System Identifier: 1311726494A1  
Document Number: UAI151797A  
PMS Account Type: P (Subaccount)  
Fiscal Year: 2021

IC	CAN	2021	2022	2023	2024
AI	8472315	\$1,505,568	\$1,504,400	\$1,503,220	\$1,502,037

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

**NIH Administrative Data:**

PCC: M32F B / OC: 41029 / Released: Smith, Gregory 06/10/2021  
Award Processed: 06/11/2021 12:07:49 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5U01AI151797-02**

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

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**SECTION III – STANDARD TERMS AND CONDITIONS – 5U01AI151797-02**

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

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 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) U01AI151797. 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 (FAPIS)). 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

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**SECTION IV – AI SPECIFIC AWARD CONDITIONS – 5U01AI151797-02**



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.

Total costs requested in the non-competing grant progress report exceed the amount previously committed. Funds are awarded at the committed level from the last Notice of Award.

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Subaward Agreement Requirements: The ECOHEALTH ALLIANCE, INC. must provide NIAID with copies of all (existing and newly established) subaward agreements established under this award, including descriptions of the biosafety monitoring plans, within 30 days of establishment.

Federal Funding Accountability and Transparency Subaward Reporting System (FSRS) Requirements: This award is subject to the Transparency Act subaward reporting requirement of 2 CFR Part 170, which must be reported through the Federal Funding Accountability and Transparency Subaward Reporting System (FSRS). The ECOHEALTH ALLIANCE, INC. must provide NIAID with proof of documentation of timely entries of subaward information into the FSRS within 30 days of submitting to FSRS.

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This award does not include funds to support research subject to the [Department of Health and Human Services Framework for Guiding Funding Decisions about Proposed Research Involving Enhanced Potential Pandemic Pathogens](#) (DHHS P3CO Framework) Therefore:

- For Aim 1: Identify, characterize and rank spillover risk of high zoonotic potential viruses from wildlife, the building of chimeric SARS-like bat coronaviruses will be based on the SHC014 or the pangolin coronavirus molecular clones and the building of chimeric MERS-CoV will be based on the HKU5 strain. Prior to further altering the mutant viruses you must provide NIAID with a detailed description of the proposed alterations and supporting evidence for the anticipated phenotypic characteristics of each virus.
- Alternative approaches to those referenced above, including building chimeras based on SARS-CoV-1, SARS-CoV-2, and MERS-CoV, may be subject to the DHHS P3CO Framework and must be submitted to NIAID for review and approval prior to the work commencing.

If any of the experiments proposed for Aim 1 result in a virus with a phenotype of enhanced pathogenicity and/or transmissibility, enhanced growth by more than 10 fold when compared to wild type strains, or if the mice display significant increases in weight loss, viral titer, or mortality when compared to wild-type strains, the recipient must immediately stop the work and notify the NIAID Program Officer, Grants Management Specialist, and appropriate institutional biosafety committee. Policy changes regarding the classification of these experiments or components used in these experiments may be subject to immediate halting of experimentation. No NIH funding can be used to perform such experiments until these experiments have been approved by NIAID with a revised NOA.

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Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated on page(s) **373** 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.

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This award includes human subject research studies and must conform to the DHHS policies for the [Protection of Human Subjects](#) research, which are a term and condition of award. Human subjects research is covered by the 2018 Common Rule, and may not be initiated until the associated protocols have received IRB approval as specified in [45 CFR 46](#). Failure to comply with the terms and conditions of award may result in the disallowance of costs and/or additional enforcement actions as outlined in Section 8.5 of the NIH Grants Policy Statement.

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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:

**Jeppesen Field Consulting Australia - AUSTRALIA**  
**Conservation Medicine Ltd. - MALAYSIA**  
**Duke-NUS Medical School - SINGAPORE**  
**Chulalongkorn University - THAILAND**

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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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This Notice of Award (NoA) includes funds for activity with **Conservation Medicine Ltd. - MALAYSIA** in the amount of **\$224,821** (**\$208,167** direct costs + **\$16,654** F&A costs).

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This Notice of Award (NoA) includes funds for activity with **Duke-NUS Medical School - SINGAPORE** in the amount of **\$107,915** (**\$99,921** direct costs + **\$7,994** F&A costs).

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This Notice of Award (NoA) includes funds for activity with **Chulalongkorn University - THAILAND** in the amount of **\$215,774** (**\$199,791** direct costs + **\$15,983** F&A costs).

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This Notice of Award (NoA) includes funds for activity with **The University of North Carolina at Chapel Hill** in the amount of **\$194,221** (**\$124,901** direct costs + **\$69,320** F&A costs).

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This Notice of Award (NoA) includes funds for activity **The Henry M. Jackson Fdn. for the Adv'mt. of Mil. Med., Inc.** in the amount of **\$114,294** (**\$74,941** direct costs + **\$39,353** F&A costs).

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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-19-028, "Emerging Infectious Diseases Research Centers,"** posted date **3/5/2019**, 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 is subject to the Clinical Terms of Award referenced in the NIH Guide for Grants and Contracts, July 8, 2002, NOT AI-02-032. These terms and conditions are hereby incorporated by reference, and can be accessed via the following World Wide Web address: <https://www.niaid.nih.gov/grants-contracts/niaid-clinical-terms-award> All submissions required by the NIAID Clinical Terms of Award must be forwarded electronically or by mail to the responsible NIAID Program Official identified on this Notice of Award.

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Select Agents:

Awardee of a project that at any time involves a restricted experiment with a select agent, is responsible for notifying and receiving prior approval from the NIAID. Please be advised that changes in the use of a Select Agent will be considered a change in scope and require NIH awarding office prior approval. The approval is necessary for new select agent experiments as well as changes in on-going experiments that would require change in the biosafety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individuals who conduct the same restricted

experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.selectagents.gov/Regulations.html>).

**Highly Pathogenic Agent:**

NIAID defines a Highly Pathogenic Agent as an infectious Agent or Toxin that may warrant a biocontainment safety level of BSL3 or higher according to the current edition of the CDC/NIH Biosafety in Microbiological and Biomedical Laboratories (BMBL)

(<http://www.cdc.gov/OD/ohs/biosfty/bmb15/bmb15toc.htm>). Research funded under this grant must adhere to the BMBL, including using the BMBL-recommended biocontainment level at a minimum. If your Institutional Biosafety Committee (or equivalent body) or designated institutional biosafety official recommend a higher biocontainment level, the highest recommended containment level must be used.

When submitting future Progress Reports indicate at the beginning of the report:

If no research with a Highly Pathogenic Agent or Select Agent has been performed or is planned to be performed under this grant.

If your IBC or equivalent body or official has determined, for example, by conducting a risk assessment, that the work being planned or performed under this grant may be conducted at a biocontainment safety level that is lower than BSL3.

If the work involves Select Agents and/or Highly Pathogenic Agents, also address the following points:

Any changes in the use of the Agent(s) or Toxin(s) including its restricted experiments that have resulted in a change in the required biocontainment level, and any resultant change in location, if applicable, as determined by your IBC or equivalent body or official.

If work with a new or additional Agent(s)/Toxin(s) is proposed in the upcoming project period, provide:

- o A list of the new and/or additional Agent(s) that will be studied;
- o A description of the work that will be done with the Agent(s), and whether or not the work is a restricted experiment;
- o The title and location for each biocontainment resource/facility, including the name of the organization that operates the facility, and the biocontainment level at which the work will be conducted, with documentation of approval by your IBC or equivalent body or official. It is important to note if the work is being done in a new location.

**SPREADSHEET SUMMARY**

**AWARD NUMBER:** 5U01AI151797-02

**INSTITUTION:** EcoHealth Alliance

Budget	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$272,729	\$272,938	\$272,938	\$272,938
Fringe Benefits	\$96,545	\$96,628	\$96,628	\$96,628
Personnel Costs (Subtotal)	\$369,274	\$369,566	\$369,566	\$369,566
Consultant Services	\$29,976	\$15,000	\$15,000	\$15,000
Materials & Supplies	\$917	\$7,918	\$7,918	\$7,918
Travel	\$72,168	\$72,225	\$72,225	\$72,225
Other	\$11,991	\$27,000	\$27,000	\$27,000
Subawards/Consortium/Contractual Costs	\$857,026	\$855,344	\$854,164	\$852,981
Publication Costs	\$6,994			
<b>TOTAL FEDERAL DC</b>	<b>\$1,348,346</b>	<b>\$1,347,053</b>	<b>\$1,345,873</b>	<b>\$1,344,690</b>
<b>TOTAL FEDERAL F&amp;A</b>	<b>\$157,222</b>	<b>\$157,347</b>	<b>\$157,347</b>	<b>\$157,347</b>
<b>TOTAL COST</b>	<b>\$1,505,568</b>	<b>\$1,504,400</b>	<b>\$1,503,220</b>	<b>\$1,502,037</b>

Facilities and	Year 2	Year 3	Year 4	Year 5
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Administrative Costs				
F&A Cost Rate 1	32%	32%	32%	32%
F&A Cost Base 1	\$491,320	\$491,709	\$491,709	\$491,709
F&A Costs 1	\$157,222	\$157,347	\$157,347	\$157,347