



NATIONAL INSTITUTE OF DIABETES AND DIGESTIVE AND KIDNEY DISEASES

**Grant Number:** 5R01DK094652-09  
**FAIN:** R01DK094652

**Principal Investigator(s):**  
J.-H. James Ou, PHD

**Project Title:** Hepatitis C virus and autophagic response

Ms Gonzales, Rosemarie  
UNIVERSITY OF SOUTHERN CALIFORNIA  
3720 S. Flower Street  
3rd Floor  
Los Angeles, CA 900890701

**Award e-mailed to:** uscaward@usc.edu

**Period Of Performance:**

**Budget Period:** 04/01/2020 – 03/31/2021

**Project Period:** 09/21/2011 – 03/31/2021

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$371,250 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF SOUTHERN CALIFORNIA 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 Diabetes And Digestive And Kidney Diseases of the National Institutes of Health under Award Number R01DK094652. 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,

Karin Johnson  
Grants Management Officer  
NATIONAL INSTITUTE OF DIABETES AND DIGESTIVE AND KIDNEY DISEASES

Additional information follows

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**SECTION I – AWARD DATA – 5R01DK094652-09****Award Calculation (U.S. Dollars)**

Federal Direct Costs	\$225,000
Federal F&A Costs	\$146,250
Approved Budget	\$371,250
Total Amount of Federal Funds Obligated (Federal Share)	\$371,250
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$371,250</b>

<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$371,250</b>
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
9	\$371,250	\$371,250

**Fiscal Information:**

<b>CFDA Name:</b>	Diabetes, Digestive, and Kidney Diseases Extramural Research
<b>CFDA Number:</b>	93.847
<b>EIN:</b>	1951642394A1
<b>Document Number:</b>	RDK094652B
<b>PMS Account Type:</b>	P (Subaccount)
<b>Fiscal Year:</b>	2020

IC	CAN	2020
DK	8472277	\$371,250

**NIH Administrative Data:****PCC:** NED VHID / **OC:** 41025 / **Released:** MASTRANGEK 03/19/2020**Award Processed:** 03/20/2020 12:05:01 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01DK094652-09**

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 – TERMS AND CONDITIONS – 5R01DK094652-09**

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

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- 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.
- Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- 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).

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

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

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

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the 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) R01DK094652. 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/>.

This award represents the final year of the competitive segment for this grant. See the NIH Grants Policy Statement Section 8.6 Closeout for complete closeout requirements at: <http://grants.nih.gov/grants/policy/policy.htm#gps>.

A final expenditure Federal Financial Report (FFR) (SF 425) must be submitted through the eRA Commons (Commons) within 120 days of the period of performance end date; see the NIH Grants Policy Statement Section 8.6.1 Financial Reports, <http://grants.nih.gov/grants/policy/policy.htm#gps>, for additional information on this submission requirement. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) quarterly cash transaction data. A final quarterly federal cash transaction report is not required for awards in PMS B subaccounts (i.e., awards to foreign entities and to Federal agencies). NIH will close the awards using the last recorded cash drawdown level in PMS for awards that do not require a final FFR on expenditures or quarterly federal cash transaction reporting. It is important to note that for financial closeout, if a grantee fails to submit a required final expenditure FFR, NIH will close the grant using the last recorded cash drawdown level. If the grantee submits a final expenditure FFR but does not reconcile any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH will close the award at the lower amount. This could be considered a debt or result in disallowed costs.

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 120 days of the

expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>. This paragraph does not apply to Training grants, Fellowships, and certain other programs—i.e., activity codes C06, D42, D43, D71, DP7, G07, G08, G11, K12, K16, K30, P09, P40, P41, P51, R13, R25, R28, R30, R90, RL5, RL9, S10, S14, S15, U13, U14, U41, U42, U45, UC6, UC7, UR2, X01, X02.

Unless an application for competitive renewal is submitted, a Final Research Performance Progress Report (Final RPPR) must also be submitted within 120 days of the period of performance end date. If a competitive renewal application is submitted prior to that date, then an Interim RPPR must be submitted by that date as well. Instructions for preparing an Interim or Final RPPR are at: [https://grants.nih.gov/grants/rppr/rppr\\_instruction\\_guide.pdf](https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf). Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the Interim or Final RPPR. *Note that data reported within Section I of the Interim and Final RPPR forms will be made public and should be written for a lay person audience.*

NIH strongly encourages electronic submission of the final invention statement through the Closeout feature in the Commons, but will accept an email or hard copy submission as indicated below.

Email: The final invention statement may be e-mailed as PDF attachments to: [NIHCloseoutCenter@mail.nih.gov](mailto:NIHCloseoutCenter@mail.nih.gov).

Hard copy: Paper submissions of the final invention statement may be faxed to the NIH Division of Central Grants Processing, Grants Closeout Center, at 301-480-2304, or mailed to:

National Institutes of Health  
Office of Extramural Research  
Division of Central Grants Processing  
Grants Closeout Center  
6705 Rockledge Drive  
Suite 5016, MSC 7986  
Bethesda, MD 20892-7986 (for regular or U.S. Postal Service Express mail)  
Bethesda, MD 20817 (for other courier/express deliveries only)

NOTE: If this is the final year of a competitive segment due to the transfer of the grant to another institution, then a Final RPPR is not required. However, a final expenditure FFR is required and should be submitted electronically as noted above. If not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

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 – DK Special Terms and Conditions – 5R01DK094652-09**

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.

### **Graduate Student Compensation**

In accordance with the NIH Guide Notice [NOT-OD-02-017](#) entitled, "Graduate Student Compensation" released December 10, 2001, total direct costs (salary, fringe benefits and tuition remission) for graduate students are provided at a level not to exceed the NIH maximum allowable amount (zero level of the Ruth L. Kirschstein National Research Service Award stipend in effect at the time of the competing award). Support recommended for future years has been 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:** Karin Johnson  
**Email:** karin.johnson@nih.gov **Phone:** 301-443-3603 **Fax:** 301- 594-9523

**Program Official:** Edward Doo  
**Email:** dooe@mail.nih.gov **Phone:** 301-451-4524 **Fax:** 301-480-8300

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 5R01DK094652-09

**INSTITUTION:** UNIVERSITY OF SOUTHERN CALIFORNIA

Budget	Year 9
TOTAL FEDERAL DC	\$225,000
TOTAL FEDERAL F&A	\$146,250
TOTAL COST	\$371,250

Facilities and Administrative Costs	Year 9
F&A Cost Rate 1	65%
F&A Cost Base 1	\$225,000
F&A Costs 1	\$146,250



## Recipient Information

### 1. Recipient Name

UNIVERSITY OF SOUTHERN CALIFORNIA  
3720 S FLOWER ST FL 3

LOS ANGELES, CA 90007

### 2. Congressional District of Recipient

37

### 3. Payment System Identifier (ID)

1951642394A1

### 4. Employer Identification Number (EIN)

951642394

### 5. Data Universal Numbering System (DUNS)

072933393

### 6. Recipient's Unique Entity Identifier

### 7. Project Director or Principal Investigator

J.-H. James Ou, PHD  
Professor  
jamesou@usc.edu  
(323) 442-1720

### 8. Authorized Official

Lillian Ann Rivera  
lrivera@usc.edu  
213-821-7120

## Federal Agency Information

### 9. Awarding Agency Contact Information

LINDSEY ANN Kisliuk

NATIONAL INSTITUTE OF ALLERGY AND  
INFECTIOUS DISEASES

### 10. Program Official Contact Information

Rajen Koshy  
Program Official  
NATIONAL INSTITUTE OF ALLERGY AND  
INFECTIOUS DISEASES  
rkoshy@niaid.nih.gov  
240-627-3294

## Federal Award Information

### 11. Award Number

5R01AI148304-02

### 12. Unique Federal Award Identification Number (FAIN)

R01AI148304

### 13. Statutory Authority

42 USC 241 42 CFR 52

### 14. Federal Award Project Title

Autophagy and the Replication of Hepatitis B Virus

### 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

### 19. Budget Period Start Date 02/01/2021 – End Date 01/31/2022

20. Total Amount of Federal Funds Obligated by this Action	\$412,500
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20 a. Direct Cost Amount	\$250,000
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20 b. Indirect Cost Amount	\$162,500
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21. Authorized Carryover	\$0
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22. Offset	\$0
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23. Total Amount of Federal Funds Obligated this budget period	\$412,500
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24. Total Approved Cost Sharing or Matching, where applicable	\$0
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25. Total Federal and Non-Federal Approved this Budget Period	\$412,500
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### 26. Project Period Start Date 02/03/2020 – End Date 01/31/2025

27. Total Amount of the Federal Award including Approved Cost	\$825,000
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Sharing or Matching this Project Period	
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### 28. Authorized Treatment of Program Income

Additional Costs

### 29. Grants Management Officer - Signature

Chernay L. Rogers

### 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.



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

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**SECTION I – AWARD DATA – 5R01AI148304-02**

**Principal Investigator(s):**

J.-H. James Ou, PHD

**Award e-mailed to:** [uscaward@usc.edu](mailto:uscaward@usc.edu)

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$412,500 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF SOUTHERN CALIFORNIA 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 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 R01AI148304. 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,

Chernay L. Rogers  
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)**

<b>Federal Direct Costs</b>	\$250,000
<b>Federal F&amp;A Costs</b>	\$162,500
<b>Approved Budget</b>	\$412,500
<b>Total Amount of Federal Funds Authorized (Federal Share)</b>	\$412,500
<b>TOTAL FEDERAL AWARD AMOUNT</b>	\$412,500
 <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	 \$412,500

<b>SUMMARY TOTALS FOR ALL YEARS</b> (for this Document Number)		
<b>YR</b>	<b>THIS AWARD</b>	<b>CUMULATIVE TOTALS</b>
2	\$412,500	\$412,500
3	\$412,500	\$412,500
4	\$412,500	\$412,500
5	\$412,500	\$412,500

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

**Fiscal Information:**

**Payment System Identifier:** 1951642394A1  
**Document Number:** RAI148304A  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2021

IC	CAN	2021	2022	2023	2024
AI	8472350	\$412,500	\$412,500	\$412,500	\$412,500

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

**NIH Administrative Data:**

**PCC:** M53B / **OC:** 41025 / **Released:** Rogers, Chernay 01/25/2021  
**Award Processed:** 01/26/2021 12:07:59 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5R01AI148304-02**

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 – 5R01AI148304-02**

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

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- 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.
- Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- 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).

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

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

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

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the 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) R01AI148304. 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

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**SECTION IV – AI SPECIFIC AWARD CONDITIONS – 5R01AI148304-02**

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.

**SPREADSHEET SUMMARY**

**AWARD NUMBER:** 5R01AI148304-02

**INSTITUTION:** UNIVERSITY OF SOUTHERN CALIFORNIA

Budget	Year 2	Year 3	Year 4	Year 5
TOTAL FEDERAL DC	\$250,000	\$250,000	\$250,000	\$250,000
TOTAL FEDERAL F&A	\$162,500	\$162,500	\$162,500	\$162,500
TOTAL COST	\$412,500	\$412,500	\$412,500	\$412,500

Facilities and Administrative Costs	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	65%	65%	65%	65%
F&A Cost Base 1	\$250,000	\$250,000	\$250,000	\$250,000
F&A Costs 1	\$162,500	\$162,500	\$162,500	\$162,500