



To: Black, Jodi (NIH/OD) [E] (b) (6)
Cc: Lauer, Michael (NIH/OD) [E] (b) (6); Bulls, Michelle G. (NIH/OD) [E] (b) (6)
From: Bulls, Michelle G. (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=B366F1A4382D44C1BDE626E7730C3DD4-BULLSMG]
Sent: Mon 5/4/2020 4:05:12 PM (UTC-05:00)
Subject: Jodi/Michelle/Mike 1:1:1
[NIH New Generic SSA final.docx](#)
[Project Tracker Status Update](#)
[FW: WIV](#)
[FW: DPI OI2 Request Process Information](#)

Agenda
5/5/20
Jodi/Michelle


OPERA IMOD
(b) (5)



Compliance
(b) (5)



Integrity Cases
(b) (5)



(b) (5)



Meetings

(b) (5)



Supporting Statement A for

Generic Clearance for NIH Citizen Science and Crowdsourcing Projects (NIH)

OMB# 0925-0766, exp., date 04/30/2023

Date: March 4, 2020

Check off which applies:

- ☒ New
- ☐ * Revision
- ☐ * Reinstatement with Change
- ☐ * Reinstatement without Change
- ☐ * Extension
- ☐ * Emergency
- ☐ * Existing w/o OMB approval

Federal Government Employee Information:

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Attachments (save file names to match what is being referenced: (ex: x.baseline; y.screener)

ATTACHMENTS

Attachment 1 Sub-study template form

Attachment 2 Mini SSA

Attachment 3 Privacy Act Memo

Attachment 4 published 30-day FRN

A. Justification

This is a new generic collection titled, “Generic Clearance for NIH Citizen Science and Crowdsourcing Projects.” Projects under this generic clearance will allow Agency researchers and program staff to test ideas more quickly, respond to the project’s needs as they evolve, and incorporate feedback from participants for flexible, innovative research methods. Any collection under this umbrella is expected to be low in burden.

A.1 Circumstances Making the Collection of Information Necessary

Section 413 (b) (3) of the Public Health Service Act, 42 U.S. Code § 285 gives NIH the authority to collect this information.

Pursuant to Section 402 of the American Innovation and Competitiveness Act (P.L. 114-329) federal agencies have broad authority to use crowdsourcing to advance agency missions and facilitate broader public participation in the innovation process. The purpose of this collection is to identify existing research, educational, operational, and project information from the public in order to share more widely with a range of audiences. These types of collections will further the legislation’s purposes of “accelerating scientific research, increasing cost-effectiveness to maximize the return on taxpayer dollars, addressing societal needs, providing hands-on learning in STEM, and connecting members of the public directly to federal science missions and to each other.”

Many federal and non-federal organizations are already using innovative citizen science and crowdsourcing tools to advance their missions. These tools are especially valuable where data are sparsely distributed or when projects rely on large datasets. Successful citizen science and crowdsourcing projects usually result from iteration of the design based on feedback from the participants. Also, there could be uncertainty about whether the time and effort to create a project will capture the interest of the public and yield meaningful public participation.

Citizen science and crowdsourcing are tools that engage, educate and empower the public to apply their curiosity and contribute their talents and feedback to a wide range of scientific and societal issues. Citizen Science is a form of open collaboration where the public can participate actively in the scientific process through methods that include asking research questions, collecting and analyzing data, interpreting results, or engaging in problem solving. Crowdsourcing is a process where individuals or organizations submit an open call for contributions of information from a group of individuals (“the crowd”).

A.2 Purpose and Use of the Information Collection

The purpose of this information collection is to:

- Accelerate scientific research
- Increase cost-effectiveness to maximize the return on taxpayer dollars
- Address societal needs
- Provide hands-on learning in STEM education
- Connect members of the public directly to federal science missions and each other
- Identify and disseminate resources more broadly to the public, on the Institutes' and Centers' (ICs) websites, and/or
- Collect information for agency internal use to improve scientific practices and/or assist in scientific reviews

Citizen science and crowdsourcing collections under this generic clearance may include the following types of questions or requests of participants:

- **Personal and Contact Information.** Projects submitted under this generic clearance may solicit contact information. This information may be necessary to organize and analyze data. Projects may request contact information (name and email address, zip code, address and phone number) to provide participants with project updates and share data. Participants would be made aware that the publically available data on contact information will be anonymized and aggregated, for example, by census tract, zip code, city, or some other higher level than individual addresses.
- **Names and Nominations.** NIH relies on nominations to recruit appropriate scientific expertise, broaden membership of review panels, and receive recommendations for reviewers. Projects submitted under this generic clearance may include public solicitations for nominations, to include project overviews, request for abstracts, or relevant qualifying questions related to the reason for individual's nomination. This information would only be used by NIH internally to select eligible candidates from the scientific community.
- **Experience and Expertise.** For data quality purposes, projects submitted under this generic clearance may request information to evaluate the skill level of the participant by asking about their experience with the project topic. Questions may be about a person's age range, level or topic of education, participation in organizations, or professional experience.
- **Requests for population characteristics** within crowdsourcing mechanisms, such as institutional affiliation and career level/stage. For example, this mechanism will allow for individuals interested in a certain topic to sign up for alerts that NIH may send in the future, and at the same time allows NIH to identify individuals interested in various topics with a goal to potentially contact them in the future.
- **Identification or Descriptions of Extramural Research, Research Tools, or Existing Resources.** Projects may include requests to identify and/or describe extramural research, research tools, or existing resources. This will allow NIH to identify best practices and developments within the scientific community that could inform future NIH program development. This could be a means to publicly identify emerging tools, guidance, or research or to review, vet, and encourage the use of public health interventions in the community and clinical settings. Making this information publicly available could enhance the quality, speed, and public health impact of efforts to translate research into

practice. It will also help the agency understand resources availability in extramural or other public environments.

To obtain approval for a collection that meets the conditions of this generic clearance, a standardized form, depending on complexity of sub-study, a template or “Mini-Supporting Statement A (Mini-SSA)” will be submitted to OMB along with any other supporting documentation

A.3 Use of Information Technology and Burden Reduction

If appropriate, programs will collect information electronically and/or use online collaboration tools to reduce burden. Screenshots will be provided for all online data collection instruments. A Privacy Impact Assessment (PIA) will be completed for all online requests.

A.4 Efforts to Identify Duplication and Use of Similar Information

No similar data are gathered or maintained by the agency or available from other sources known to the agency.

A.5 Impact on Small Businesses or Other Small Entities

Small business or other small entities may be involved in these efforts, but the agency will minimize the burden on them of information collections approved under this clearance by sampling, asking for readily available information, and using short, easy-to-complete information collection instruments.

A.6 Consequences of Collecting the Information Less Frequently

Forms will be submitted on an as needed basis.

A.7 Special Circumstances Relating to the Guidelines of 5 CFR 1320.5

There are no special circumstances. The information collected will be voluntary, not generalizable, and will not be used for statistical purposes.

A.8.1 Comments in Response to the Federal Register Notice

The 60-day Federal Register Notice was published on October 4, 2019 (Vol. 84, pg. 53162) and allowed 60 days for public comment. No public comment was received.

A.8.2 Efforts to Consult Outside Agency

No outside consultation is intended

A.9 Explanation of Any Payment of Gift to Respondents

It is possible that some information collection activities will entail a small payment or gifts to respondents. The agency does not typically provide payment or other forms of remuneration to participants, however if it is necessary for hard to reach populations, details and a justification will be provided. Instances for offering an incentive will be determined on a case-by-case basis (depending on the particular information collection design).

A.10 Assurance of Confidentiality Provided to Respondents

Personal Identifiable Information (PII) will only be collected to the extent necessary. Respondents will be assured that neither their participation nor lack of participation will have any effect on their eligibility for receipt of services. In addition, respondents will be advised of the purpose of the information collection, the use of information collection, NIH sponsorship, that their participation is voluntary, and that they may choose to discontinue or have their name and/or related information withdrawn at any time. In instances where it is possible, information will be presented in an aggregate form without links to the identity of individual participants. The Privacy Act applies to the information collection per Privacy Act System of Records Notice (SORN) 09-25-0156, *“Records of Participants in Programs and Respondents in Surveys Used to Evaluate Program of the Public Health Service, HHS/PHS/NIH/OD”*.

It may be necessary for some information collections to retain name and contact information to be used to contact potential respondents. In these instances, the rationale for retention of PII will be fully explained. Most of the information collections to be conducted under this clearance is considered exempt from Institutional Review Board (IRB) review at NIH. However, if it is determined that the information collection involves non-exempt activities, the staff will be required to submit the information collection for review to the IRB for approval.

A.11 Justification for Sensitive Questions

This generic will allow for sensitive questions specifically in the context of determining demographics and promoting diversity. NIH values diversity ([NOT-OD 20-031](#)) and inclusion, and this data will assist NIH in being more inclusive of culturally, medically, and behaviorally sensitive matters. All questions of a sensitive nature will be justified. The justification will include the reasons why the agency considers the questions necessary, the specific uses to be made of the information, the explanation to be given to persons from whom the information is requested, and any steps to be taken to obtain their consent. All sensitive questions will be voluntary fields.

A.12.1 Estimates of Hour Burden Including Annualized Hourly Costs

Participants in these activities may include research in academia or industry, clinicians, patients and patient’s advocacy organizations, other non-governmental organizations, and members of the public. A variety of instruments and platforms will be used to collect information from respondents and each sub-study will vary by number of respondents and average time per

response. However, the annual burden hours requested 18,601 is based on the number of collections we expect to conduct over the requested three-year period for this clearance.

Table 12-1 Estimated Annualized Burden Hours

Type of Collection	No. of Respondents	No. of Responses per Respondent	Time per Response (in hours)	Total Hours
Call for Nominations/Resources	1,000	1	10/60	167
Recommendations of scientific reviewers	1,000	1	5/60	83
Request for Population Characteristics	20,000	1	5/60	1,667
Repository of Tools and Best Practices	100,000	1	10/60	16,667
Total		122,000		18,584

A.12-2 ANNUAL COST TO RESPONDENT

These estimates are based on the following data from the Bureau of Labor Statistics: the General Public rate was obtained from the https://www.bls.gov/oes/2018/May/oes_nat.htm#00-0000 occupation title “All occupations” occupation code 00-0000. The Health Professionals wage rate was obtained from https://www.bls.gov/oes/2018/May/oes_nat.htm#00-0000 occupation title “Healthcare Practitioners and Technical Occupations”, occupation code 29-0000; and the Health Educators wage rate was obtained from <http://www.bls.gov/oes/current/oes211091.htm>, occupation code 21-1091.

Table 12-2 Annualized Cost to Respondents

Type of Respondents	Total Annual Burden Hours	Hourly Respondent Wage Rate*	Respondent Cost
General Public	18,334	\$24.98	\$457,983
Health Professionals	83	\$39.42	\$3,272.00
Health Educators	167	\$28.68	\$4,789.56
TOTAL	18,584		\$466,044

*The General Public http://www.bls.gov/oes/2018/may/oes_nat.htm#00-0000
The Health Professionals <http://www.bls.gov/oes/2018/may/oes290000.htm>

A.13 Estimate of Other Total Annual Cost Burden to Respondents or Record Keepers

There are no additional costs of than a respondent's time.

A.14 Annualized Cost to the Federal Government

The annual cost to the Federal Government for the proposed data collection effort is \$11,977.50

Cost Descriptions	Grade/Step	Salary*	% of Effort	Fringe (if applicable)	Total Cost to Gov't
Federal Oversight					
Asst. Project Officer	GS 13/6	\$119,775	10%		\$11,977.50
Contractor Cost					
Travel					
Other Cost					
Total					\$11,977.50

*the Salary in table above is cited from <https://www.opm.gov/policy-data-oversight/pay-leave/salaries-wages/salary-tables/18Tables/html/DCB.aspx>

A.15 Explanation for Program Changes or Adjustments

This is a new information collection request.

A.16 Plans for Tabulation and Publication and Project Time Schedule

The information collected through this collection is primarily for internal review and will not be published. However, for certain activities, information may be published on an NIH website or included in a printed or online program for the activity or subsequent publication describing the activity. Each project submitted under this generic clearance will specify plans for tabulation, timeline, and publication of the information collection.

A.17 Reason(s) Display of OMB Expiration Date is Inappropriate

The OMB control number and expiration date will be displayed.

A.18 Exceptions to Certification for Paperwork Reduction Act Submissions

None

To: Ta, Kristin (NIH/OD) [E](b) (6)
Cc: Rosen, David (NIH/OD) [E](b) (6)
From: Islam, Emrul (NIH/OD) [E]/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=1F1C9E75325D459B950E505EDEB7C4D2-ISLAME2]
Sent: Wed 4/29/2020 9:23:02 AM (UTC-05:00)
Subject: Project Tracker Status Update

Hello Kristin,

We have made significant changes to the project tracker since our last meeting based on the requests given by Avery Tucker.

Here are the brief overview of the changes:

1. A project can now have multiple Business Areas
2. A staff can belong to multiple Business Areas
3. Reminder will be sent 1,3, 7 days prior to action due
4. All the below comments taken care of

Here's what's needed from you since roles and users might have changed since you last used this :

1. List of users and what business area they belong to (I will activate the daily reminder once you send me the updated list)

Please test the system and let me know of any issues. Right now it is in our staging server which may perform a little slow. We will move to production server once you're satisfied.

Thank you,
Emrul

OPERA Tracker – Comments from Pilot Team

- Need for reminder emails
- Not receiving notification emails (may be going to the wrong person)
- Default for send notification should be 'yes'. Opt-out only.
 - OK
- Dashboard
 - Pending Actions at the top
 - List project name with Action
 - Currently no indication of past due
 - OK
- Project page
 - Show open/pending actions only
 - Click to go somewhere else and view closed
 - Shouldn't be able to have an end date that is before the start date
 - OK
- Actions
 - can't open attachments
 - Attachments don't display on the view page
 - All fields should display on the view
 - OK
- Can project be updated to have multiple business areas?
 - Limit access by Action
 - Example: deviations, FOIA requests
 - It is currently written by role that is not structured with more than 1 business areas. Will look into best way to adapt this.
 - Need to figure out the priority with making this change based on the level of effort.
- Pages not loading
 - Try and get list of pages not loading and send back

- Auto-populating project end date- 1970
 - Will update
- Default dashboard should show only open projects
 - OK
- Project List
 - Need to be able to sort, not just filter
 - Should display newest on top
 - Default to Open only
 - OK
- Can't delete projects (action manager should be able to do it)
 - Action managers should be able to archive and we can come up with an archive policy to delete projects in the long term, or determine the best options for deletion moving forward
- “actions assigned” bubble doesn't go anywhere
 - Should direct user to dashboard
- Business Areas: Remove ‘Systems’. Just keep Systems Policy
 - Ok
- Once a dropdown is selected, can't clear it.
 - Need to figure out which fields are not required to build in the option to deselect
- Lead entity (potentially remove, and use projects to track the source of the work e.g. HHS, CARR, etc.)

Emrul Islam

Web Developer

NIH\OD\OER

To: Black, Jodi (NIH/OD) [E] (b) (6)
Cc: Bulls, Michelle G. (NIH/OD) [E] (b) (6)
From: Bulls, Michelle G. (NIH/OD) [E]/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=B366F1A4382D44C1BDE626E7730C3DD4-BULLSMG]
Sent: Mon 5/4/2020 1:06:02 PM (UTC-05:00)
Subject: FW: WIV
[RE: Direct Reply w/ OD Clearance - Wuhan Institute of Virology \(WF390335\)](#)
[NIH letter to UCI re Wuhan Institute of Virology dd \(4-30-2020\) final mgb and kt](#)

Hi Jodi,
Attached are the updates that I provided to you last week.

Attachment 1: notifies you that I have restricted all funds to WIV from the NIMH grant – the details in this attachment outlines the restricted \$660,054k which is the full amount of the subaward to WIV from UC-Irvine it's total costs, as discussed Friday. They cannot draw down any funds.

Attachment 2: is the letter that was drafted for Mike Lauer to send to UC-Irvine (prime) suspending the sub to WIV. The letter should cc Terri Jarosik/NIMHs CGMO

Next steps are to tell me when the letter is sent so that I can issue terms of awards to Terri, depending on whether we change language. Please see attached and let me know if you want me to issue the terms to Terri. It's easy to do—just need to make sure that the letter is out before we advise her to revised the award.

Michelle

From: Black, Jodi (NIH/OD) [E] (b) (6)
Sent: Monday, May 4, 2020 1:39 PM
To: Bulls, Michelle G. (NIH/OD) [E] (b) (6)
Cc: Tarwater, Robert (NIH/OD) [E] (b) (6)
Subject: Re: WIV

I have no updates. If you could advise on possible next steps that would be helpful:

(b) (5)

What are the options?

Thanks
Jodi

Jodi B. Black, PhD, MMSc
Deputy Director
Office of Extramural Research, NIH

From: Michelle Bulls (b) (6)
Date: Monday, May 4, 2020 at 1:12 PM
To: Jodi OER (b) (6)
Cc: Robert Tarwater (b) (6)
Subject: RE: WIV

Jodi,
Do we have an update on this? Are we sending out the letter to UC-Irvine? (b) (5)
Any updates?

From: Black, Jodi (NIH/OD) [E] (b) (6)
Sent: Thursday, April 30, 2020 8:50 AM
To: Bulls, Michelle G. (NIH/OD) [E] (b) (6)

Cc: Tarwater, Robert (NIH/OD) [E] <(b) (6)>

Subject: Re: WIV

(b) (5)

Days after Trump's briefing promise, Republican lawmakers wrote to leadership asking that no stimulus funding go to the Wuhan lab, citing State Department cables about safety concerns. The White House did not respond to a request for comment.

Please let me know how I can help

Best,
Jodi

Jodi B. Black, PhD, MMSc
Deputy Director
Office of Extramural Research, NIH

From: Michelle Bulls <(b) (6)>

Date: Thursday, April 30, 2020 at 8:40 AM

To: Jodi OER <(b) (6)>

Cc: Robert Tarwater <(b) (6)> Michelle Bulls <(b) (6)>

Subject: RE: WIV

I need time to review this and determine what can be done.

Just so I am clear, please tell me whether we/NIH is now moving toward not providing any funding to Wuhan? And as I stated in the previous case, we should be very careful about how we do this. I would ask for a moment to review this and provide you w/options that range from safe to risky.

Michelle

From: Black, Jodi (NIH/OD) [E] <(b) (6)>

Sent: Thursday, April 30, 2020 8:35 AM

To: Bulls, Michelle G. (NIH/OD) [E] <(b) (6)>

Cc: Tarwater, Robert (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)>

Subject: WIV

Hi Michelle, (b) (5)

What are the options?

Thanks
Jodi

Jodi B. Black, PhD, MMSc
Deputy Director
Office of Extramural Research, NIH

To: Black, Jodi (NIH/OD) [E] (b) (6)
Cc: Bulls, Michelle G. (NIH/OD) [E] (b) (6)
From: Bulls, Michelle G. (NIH/OD) [E]/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=B366F1A4382D44C1BDE626E7730C3DD4-BULLSMG]
Sent: Thur 4/30/2020 4:49:07 PM (UTC-05:00)
Subject: RE: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

It's over the course of 5 years. And because it is a MYF they spend as they need and they have several more years to go. We have restricted ALL of the funds regardless of whether they spent it or not because we reserve the right disallow all the costs. So we restricted every dollar that was approved for Wuhan. I can pull the originally approved project so you can actually see what was approved for them vs. what was set aside for that action date. We don't administer MYF grants the same way as incrementally funded grants.

Does this help?

From: Black, Jodi (NIH/OD) [E] (b) (6)
Sent: Thursday, April 30, 2020 5:46 PM
To: Bulls, Michelle G. (NIH/OD) [E] (b) (6)
Subject: Re: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Hi Michelle, is \$660,054 the total cost to WIV over 5 years of the grant RF1MH120020 ? [USA spending](#) has the subaward cost to WIV as \$216,108. I'm sure I don't understand something

Sub-Award ID	Recipient Name	Action Date
2019-3805-1	WUHAN INSTITUTE OF VIROLOGY CHINESE ACADEMY OF SCIENCES CAP...	12/17/2019
2019-3804	UNIVERSITY OF WASHINGTON	09/10/2019

Thanks
Jodi

Jodi B. Black, PhD, MMSc
Deputy Director
Office of Extramural Research, NIH

From: Michelle Bulls (b) (6)
Date: Thursday, April 30, 2020 at 4:16 PM
To: Jodi OER (b) (6)
Subject: RE: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

It's total costs....

\$611,161 direct costs
\$ 48,893 indirects (8% foreign rate)
\$660, 054 total costs

From: Black, Jodi (NIH/OD) [E] (b) (6)
Sent: Thursday, April 30, 2020 4:13 PM
To: Bulls, Michelle G. (NIH/OD) [E] (b) (6)
Subject: FW: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Hi Michelle, could you/your team help with how \$660K was derived

Thanks
Jodi

From: Mike Lauer <(b) (6)>
Date: Thursday, April 30, 2020 at 2:30 PM
To: Jodi OER <(b) (6)>
Cc: Mike Lauer <(b) (6)>
Subject: FW: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Many thanks Jodi – I don't understand where the 660K figure comes from.

Thanks, Mike

From: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Date: Thursday, April 30, 2020 at 1:37 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Hi Mike, Michelle has been working with NIMH and they put a hard funds control on this grant. See attached. Michelle is working on a letter for you.

Please place a hard funds control in the amount of \$660,054 TC on grant 1RF1MH120020 – 01. Please kindly notify me when the restriction of funds has been processed.

Best,
Jodi

From: Mike Lauer <(b) (6)>
Date: Thursday, April 30, 2020 at 8:34 AM
To: Jodi OER <(b) (6)>
Subject: Re: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Thanks Jodi!

Mike

From: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Date: Thursday, April 30, 2020 at 8:32 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Hi Mike, I'm checking with OPERA for options.

Best,
Jodi

Jodi B. Black, PhD, MMSc
Deputy Director
Office of Extramural Research, NIH

From: Mike Lauer <(b) (6)>
Date: Thursday, April 30, 2020 at 7:15 AM
To: "Pearson, Katrina (NIH/OD) [E]" <(b) (6)> "Haugen, Brian (NIH/OD) [E]" <(b) (6)>

Jodi OER <(b) (6)>
Cc: "Brining, Sheryl (NIH/OD) [E]" <(b) (6)> OER Executive Secretariat
<(b) (6)> liza bundesen <(b) (6)> "Schwetz, Tara (NIH/OD) [E]"
<(b) (6)> Mike Lauer <(b) (6)>
Subject: Re: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Many thanks Katrina for checking and confirming the results.

Hi Aesha – I'll continue to work on this.

Best, Mike

From: "Pearson, Katrina (NIH/OD) [E]" <(b) (6)>
Date: Wednesday, April 29, 2020 at 11:41 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Haugen, Brian (NIH/OD) [E]" <(b) (6)>
"Black, Jodi (NIH/OD) [E]" <(b) (6)>
Cc: "Brining, Sheryl (NIH/OD) [E]" <(b) (6)> OER Executive Secretariat
<(b) (6)> "Bundesen, Liza (NIH/OD) [E]" <(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>
Subject: RE: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Hi Mike,

Based on independent searches conducted directly in the grants database, QVR and USA Spending the information is consistent with your findings.

See breakdown below and FACTS snapshots attached.

Wuhan Institute of Virology, Chinese Academy of Sciences (performance site or sub)
EcoHealth Alliance in the amount of \$3,378,896

FY	APPLICATION TYPE	GRANT NUMBER	TOTAL FUNDING (PERIOD AMOUNT IN NOA)
2014	1	R01AI110964-01	\$133,595
2015	5	R01AI110964-02	\$139,015
2016	5	R01AI110964-03	\$159,122
2017	5	R01AI110964-04	\$159,122
2018	5	R01AI110964-05	\$159,122
2019	2	R01AI110964 06	\$76,301
			\$826,277

Wuhan Institute of Virology, Chinese Academy of Sciences (performance site or sub)
UNIVERSITY OF CALIFORNIA-IRVINE in the amount of \$4,332,719

FY	APPLICATION TYPE	GRANT NUMBER	TOTAL FUNDING (PERIOD AMOUNT)
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2014	1	RF1MH120020-01	\$216,108
			\$216,108

Katrina

Katrina Pearson

Office: (b) (6) / Mobile: (b) (6)

Website: <http://report.nih.gov>



From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Wednesday, April 29, 2020 8:22 PM
To: Pearson, Katrina (NIH/OD) [E] <(b) (6)> Haugen, Brian (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)>
Cc: Lauer, Michael (NIH/OD) [E] <(b) (6)> Brining, Sheryl (NIH/OD) [E] <(b) (6)> OER Executive Secretariat <(b) (6)> Bundesen, Liza (NIH/OD) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)>
Subject: FW: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Hi Katrina and Brian

Please see the letter from Senator McSally and Congressman Gaetz. I searched QVR, RePORTER, and USASpending and here's what I could find. Could you please check and see whether this is accurate and whether I missed anything?

Hi Jodi – looks like we have another grant with WIV monies (to NIMH), but the monies were already awarded. It's an MYF grant, so I'm not sure there's anything more to do.

Many thanks!

Mike

From: OER Executive Secretariat <(b) (6)>
Date: Wednesday, April 29, 2020 at 10:21 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Cc: "Bunden, Liza (NIH/OD) [E]" <(b) (6)> "Kosub, David (NIH/OD) [E]" <(b) (6)>
"Joshi, Pritty (NIH/OD) [E]" <(b) (6)> "Showe, Melanie (NIH/OD) [E]" <(b) (6)>
Subject: Direct Reply w/ OD Clearance - Wuhan Institute of Virology (WF390335)

Hi Mike and Jodi –

Please see the attached letter from Members of Congress who write with concerns about NIH's past and current relationship with China's bio-agent laboratory Wuhan Institute of Virology (WIV) and to ensure no additional tax dollars are directed to this institution. OER has been asked to draft a direct reply for OD Clearance. Would you mind forwarding me a draft response for OD clearance. Please let me know if you have any questions or if you feel this should be assigned to another SME for drafting.

Thanks,

Best Regards,

Aesha Brandy, MBA*

Program Analyst

NIH Office of Extramural Research

Immediate Office of the Director

Building 1, Room 150
 Bethesda, MD 20814

(b) (6)

(b) (6)

**Contractor*

To: Black, Jodi (NIH/OD) [E] (b) (6)
Cc: Bulls, Michelle G. (NIH/OD) [E] (b) (6)
From: Bulls, Michelle G. (NIH/OD) [E]/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=B366F1A4382D44C1BDE626E7730C3DD4-BULLSMG]
Sent: Thur 4/30/2020 3:28:59 PM (UTC-05:00)
Subject: NIH letter to UCI re Wuhan Institute of Virology dd (4-30-2020) final mgb and kt
[NIH letter to UCI re Wuhan Institute of Virology \(4-30-2020\) mgb.docx](#)

Hi,

I have revised Diane's draft to further refine our language and KT helped me get this on letterhead. It's prepped for Mike's signature. Let me know if you need anything additional



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

National Institutes of Health
Bethesda, Maryland 20892

(b) (5)

(b) (5)



To: Bulls, Michelle G. (NIH/OD) [E] <(b) (6)>
From: Dean, Diane (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=684401597B3440D8AB1BEAC88938142D-DEANDI]
Sent: Mon 5/4/2020 12:52:39 PM (UTC-05:00)
Subject: FW: DPI OI2 Request Process Information

Forwarding, as requested.

From: Kears, Deborah (NIH/OD) [E] <(b) (6)>
Sent: Wednesday, April 15, 2020 9:22 AM
To: Valdez, Patricia (NIH/OD) [E] <(b) (6)> Sanders, Ashley (NIH/OD) [E] <(b) (6)> Dean, Diane (NIH/OD) [E] <(b) (6)>
Subject: DPI OI2 Request Process Information

Good Morning ladies,

I know that OER has made a request for DPI to contact Diane when DPI receives a request from an OIG Agent or an FBI Agent that is asking for grant-related information. (b) (5)

However, given the impact of this request upon DPI's SOPs for the OI2 process, before I make any permanent changes to any DPI long-standing processes, I would like to have a meeting to discuss this with all of you. I would like to know more about OERs engagement with the OIG, and in fulfilling OI2 requests.

While I have had discussions with our OIG POC, and the OIG Hotline supervisor about the OIG and OI2 referral process, I have not received any feedback from the ICs or from anyone in NIH that has told me that the process used to fulfill OI2s wasn't working or needed improvement. However, if that is the case, I would like to hear more about that. I am amenable to processes that work for everyone.

Please let me know if you are free for a 30 minute call:
Today at anytime between 11:00 am – 12:30pm or 1:30pm – 3:00 or 4:00pm
Tomorrow anytime before noon or at 4:00pm.
Friday anytime between 11:00am and 4:00pm

If this week isn't good for you, we can also look at next week.

Thanks,
Debk

Deborah Kears, Director
Division of Program Integrity
Office of Management Assessment
National Institutes of Health
6011 Executive Boulevard, Suite 601
Rockville, MD 20852
Desk: (b) (6)
Mobile: (b) (6)

To: Brandy, Aesha (NIH/OD) [C] (b) (6)
Cc: Bundesen, Liza (NIH/OD) [E] (b) (6) Kosub, David (NIH/OD) [E] (b) (6) Lauer, Michael (NIH/OD) [E] (b) (6)
From: Lauer, Michael (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=90FE9CAE30C64CFBB67ABD568E882796-LAUERM]
Sent: Fri 5/1/2020 7:24:33 AM (UTC-05:00)
Subject: Re: NIH FOIA #54085 - Meredith Wadman of Science Magazine - Due by Friday May 8th
[Wuhan FOIA.zip](#)

Hi again Aesha – [ODNI announced yesterday](#) that there is an ongoing investigation into safety and security breaches at the Wuhan laboratory.

Thus, given that there is an ongoing investigation, (b) (5)

Best, Mike

From: "Lauer, Michael (NIH/OD) [E]" (b) (6)
Date: Thursday, April 30, 2020 at 8:48 PM
To: "Brandy, Aesha (NIH/OD) [C]" (b) (6)
Cc: "Bundesen, Liza (NIH/OD) [E]" (b) (6) "Kosub, David (NIH/OD) [E]" (b) (6)
"Lauer, Michael (NIH/OD) [E]" (b) (6)
Subject: Re: NIH FOIA #54085 - Meredith Wadman of Science Magazine - Due by Friday May 8th

Hi Aesha – see attached.

Thanks, Mike

From: "Brandy, Aesha (NIH/OD) [C]" (b) (6)
Date: Thursday, April 30, 2020 at 8:27 PM
To: "Lauer, Michael (NIH/OD) [E]" (b) (6)
Cc: "Bundesen, Liza (NIH/OD) [E]" (b) (6) "Kosub, David (NIH/OD) [E]" (b) (6)
Subject: RE: NIH FOIA #54085 - Meredith Wadman of Science Magazine - Due by Friday May 8th

Apologies Mike – Can you send me documents by next Friday, **May 8th**.

Best,
Aesha

From: Brandy, Aesha (NIH/OD) [C]
Sent: Thursday, April 30, 2020 8:26 PM
To: Lauer, Michael (NIH/OD) [E] (b) (6)
Cc: Bundesen, Liza (NIH/OD) [E] (b) (6) Kosub, David (NIH/OD) [E] (b) (6)
Subject: NIH FOIA #54085 - Meredith Wadman of Science Magazine - Due by Friday April 8th

Hi Mike –
Please see the NIH FOIA request below from Science Magazine. Would you forward any responsive documents to me by COB Friday, May 8th, if possible. Let me know if you have any questions or feel this should be sent to another SME for input.

Thanks.

Best,
Aesha

From: (b) (6) (b) (6)
Sent: Tuesday, April 28, 2020 10:47 AM
To: NIH FOIA (b) (6)
Subject: NIH FOIA - Assignment Notification from NIH FOIA Public Portal-Tracking # 54085

Hi FOIA Team!

Request # 54085 was submitted through the NIH FOIA Public Portal and assigned to you for review and further processing.

Please review the request and if all required details have not been provided by the requester, be sure to use the "Stop Clock" option to ensure processing time for the request is accurately monitored while waiting for clarification/information from the requester.

Request Description:

Dear NIH FOIA staff:

I'm a reporter with Science. I'm requesting on an expedited basis a response to the following FOIA. The expedition is requested because of the urgent and pressing public health threat posed by the novel coronavirus -- and the possibility that political considerations caused NIH to cut off a grant that was probing the bat-to-human transmission that very possibly launched the current pandemic. See the April 27 Politico article under the headline: "Trump cuts U.S. research on bat-human virus transmission over China ties; The National Institutes of Health on Friday told EcoHealth Alliance, the study's sponsor for the past five years, that all future funding was cut."

The NIH's possible stifling of foundational research germane to both this epidemic and the prevention of future pandemics a time when Americans are dying in their thousands is clearly a matter of urgent and pressing concern for public safety, thus my request for expedition.

I'm requesting, for the period October 1 2019 to today, April 28, 2020:

- 1. All correspondence (including emails, written memos or letters, memos of phone conversations, and texts) between senior NIH officials Francis Collins, Michael Lauer, Lawrence Tabak, Tony Fauci and anyone else at NIH they copied on such correspondence, or who initiated such correspondence, concerning the grant to EcoHealth Alliance, R01 AI110964, "Understanding the Risk of Bat Coronavirus Emergence."*
- 2. All correspondence between the senior NIH officials listed in (1.) above and any officials in the Department of Health and Human Services concerning the grant to EcoHealth Alliance, R01 AI110964, "Understanding the Risk of Bat Coronavirus Emergence."*
- 3. All correspondence between the senior NIH officials listed in (1.) above and any officials in the Department of State concerning the grant to EcoHealth Alliance, R01 AI110964, "Understanding the Risk of Bat Coronavirus Emergence."*

4. All correspondence between the senior NIH officials listed in (1.) above and any officials at EcoHealth Alliance concerning the grant to EcoHealth Alliance, R01 AI110964, "Understanding the Risk of Bat Coronavirus Emergence."

5. All correspondence between the senior NIH officials listed in (1.) above and any White House employees concerning the grant to EcoHealth Alliance, R01 AI110964, "Understanding the Risk of Bat Coronavirus Emergence."

Thanks for considering this request.

Sincerely,

Meredith Wadman, BM, BCh

Reporter

Science Magazine

1200 New York Avenue N.W., #1144

Washington, D.C. 20005

Email: mwadman@aaas.org

Cell: 703-343-3572

(Date Range for Record Search: From 10/01/2019 To 04/28/2020)

From: "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>
To: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Cc: "Tarwater, Robert (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>
Subject: RE: Subrecipients Under FAIN R01AI110964
Sent: Tue 4/21/2020 7:17:39 AM (UTC-05:00)

Jodi,
I will review—(b) (5). If Mike could loop me back into the discussion, I will respond to her and look into it. Thank you.

From: Black, Jodi (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 20, 2020 10:28 PM
To: Bulls, Michelle G. (NIH/OD) [E] <(b) (6)>
Cc: Tarwater, Robert (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>
Subject: FW: Subrecipients Under FAIN R01AI110964

Hi Michelle, how do you suggest we proceed? See below

Best,
Jodi

Jodi B. Black, PhD, MMSc
Deputy Director
Office of Extramural Research, NIH

From: Mike Lauer <(b) (6)>
Date: Monday, April 20, 2020 at 6:55 PM
To: "Bettencourt, Alice (HHS/ASFR)" <(b) (6)> Jodi OER <(b) (6)>
Cc: Mike Lauer <(b) (6)>
Subject: Re: Subrecipients Under FAIN R01AI110964

Thanks Alice – looping in Jodi – we'll look into it.

Best, Mike

From: "Bettencourt, Alice (HHS/ASFR)" <(b) (6)>
Date: Monday, April 20, 2020 at 5:04 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: RE: Subrecipients Under FAIN R01AI110964

(b) (5)

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 20, 2020 4:57 PM
To: Bettencourt, Alice (HHS/ASFR) <(b) (6)> Bulls, Michelle G. (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)>
Cc: Lauer, Michael (NIH/NHLBI) [E] <(b) (6)>
Subject: Re: Subrecipients Under FAIN R01AI110964

Hi Alice – here's the info I have – from NIAID. Thanks, Mike

R01-AI-110964, Peter Daszak, PI to ECOHEALTH ALLIANCE

Initial competitive segment (starting with Type 1, grant years 01-05 funded from 06/01/2014 - 05/31/2019)

Funded Chinese sites:

East China Normal University, Shanghai	\$295,623 (5 years)
Wuhan Inst. Virology, Wuhan	\$749,966 (5 years)

Chinese collaborators (no funds awarded) also located at:

Center for Disease Control and Prevention, Guangzhou

Guangdong Entomological Institute, Shanghai

Yunnan Institute of Endemic Diseases Control and Prevention, Dali

Second competitive segment (starting with Type 2, revised NOA)

Currently in year 6 (budget period ends 6/30/2020, project period ends 6/30/2024)

Funded Chinese sites:

Institute of Pathogen Biology, Beijing	\$75,600 (1 year)
Wuhan Institute of Virology, Wuhan	\$76,301 (1 year)

Chinese collaborators also located at:

East China Normal University, Shanghai receiving consultant costs for \$49,750 (1 year)

From: "Bettencourt, Alice (HHS/ASFR)" <(b) (6)>

Date: Monday, April 20, 2020 at 4:49 PM

To: "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>

Subject: Subrecipients Under FAIN R01AI110964

Mike, Michelle,

OMB has requested via Jen M. to know if there are subrecipients to Ecohealth Alliance under the subject FAIN. No subrecipients are reported in USASpending. Could you please have the application checked and let me know. (b) (5)

Thank you,

Alice

From: "Arbes, Sarah (HHS/ASL)" <(b) (6)>
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Pence, Laura (HHS/ASL)" <(b) (6)>
Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Cc: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/NHLBI) [E]" <(b) (6)>
Schwetz, Tara (NIH/OD) [E]" <(b) (6)>
Subject: RE: Wuhan lab research
Sent: Wed 4/15/2020 7:31:06 AM (UTC-05:00)

Very helpful—and just in time! About to send this up to AMA and able to include this. Will let you know if there are followup questions.

From: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
Sent: Wednesday, April 15, 2020 8:24 AM
To: Pence, Laura (HHS/ASL) <(b) (6)> Wolinetz, Carrie (NIH/OD) [E] <(b) (6)>
Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/NHLBI) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

Clarifying the resources to the Wuhan group:

Type 1 total is 749,976. The Type 2, is 76,301 (so far). Thus total for all years is: 749,976+76,301= 826,277. (b) (5)

It's a subcontract going through New York.

Let us know if you need anything else.
Larry

From: "Pence, Laura (HHS/ASL)" <(b) (6)>
Date: Wednesday, April 15, 2020 at 7:19 AM
To: "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Cc: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)>
<(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>
<(b) (6)> "Arbes, Sarah (HHS/ASL)" <(b) (6)>
Subject: Re: Wuhan lab research

This is great, thanks!

On Apr 15, 2020, at 7:05 AM, Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> wrote:

And this news release has a pretty good lay level summary of it, if it's useful: :
<https://www.sciencedaily.com/releases/2020/03/200317175442.htm> Cheers, Carrie

From: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
Sent: Wednesday, April 15, 2020 6:56 AM
To: Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> Pence, Laura (HHS/ASL) <(b) (6)>
Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>
<(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

Attached is the paper Carrie is referring to.
Larry

From: "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Date: Wednesday, April 15, 2020 at 6:50 AM
To: "Pence, Laura (HHS/ASL)" <(b) (6)> "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Arbes, Sarah (HHS/ASL)" <(b) (6)>
Subject: RE: Wuhan lab research

Laura,

(b) (5)

(b) (5) Cheers, Carrie

From: Pence, Laura (HHS/ASL) <(b) (6)>
Sent: Tuesday, April 14, 2020 11:32 PM
To: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

Gotcha, thanks! If you have that info tomorrow morning that would be great. (b) (5)

Can't thank you enough for all the info you've already gotten to us on this. It will be very helpful.

On Apr 14, 2020, at 10:53 PM, Tabak, Lawrence (NIH/OD) [E] <(b) (6)> wrote:

Mike Lauer will need to answer this- it is a sub project to the NY grant but I don't know if funding is direct or via NY.

Larry

Sent from my iPhone

On Apr 14, 2020, at 10:51 PM, Pence, Laura (HHS/ASL) <(b) (6)> wrote:

Really helpful, thanks! So the PI in NY is the grantee and the institute in Wuhan is subgrantee? Or Wuhan receives funding directly from NIH?

On Apr 14, 2020, at 10:43 PM, Tabak, Lawrence (NIH/OD) [E] <(b) (6)> wrote:

Laura,

Still working on some confirmation of details, but this work is part of a large

multi- country study with Wuhan being one site. The principal investigator, Peter Daszak, is based in NY at Ecohealth Alliance, Inc

Project Number: 2R01AI110964-06

Contact PI / Project Leader: DASZAK, PETER

Title: UNDERSTANDING THE RISK OF BAT CORONAVIRUS EMERGENCE

Awardee Organization: ECOHEALTH ALLIANCE, INC.

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

How long have we been giving research dollars to this lab? (b) (5)

- How much have we given? (b) (5)

- For what purpose? (b) (5)

- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say

- (b) (5)

Anything else we should know? (b) (5)

Please let us know if you need anything else.
Larry

From: "Pence, Laura (HHS/ASL)" <(b) (6)>

Date: Tuesday, April 14, 2020 at 9:47 PM

To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>

"Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)> "Schwetz,

Tara (NIH/OD) [E]" <(b) (6)>

Subject: Wuhan lab research

Hi! Can we get info on this ASAP? Need for the morning. Sorry for the fire drill.

Begin forwarded message:

From: "Arbes, Sarah (HHS/ASL)" <(b) (6)>

Date: April 14, 2020 at 9:30:23 PM EDT

To: "Hallett, Adrienne (NIH/OD) [E]"

<(b) (6)> "Pence, Laura (HHS/ASL)"

<(b) (6)>

Cc: "Morse, Sara (HHS/ASL)" <(b) (6)>

Subject: For AMA in the morning

Adrienne and Laura –

Can you please help me run ground truth to this article?:

<https://protect2.fireeye.com/url?k=f08a61fa-acdf682a-f08a50c5-0cc47a6a52de-b99d5f233732d661&u=https://protect2.fireeye.com/url?k=79bfb5e8-25eb9cc3-79bf84d7-0cc47a6d17cc-7fe08f9f909251fb&u=https://protect2.fireeye.com/url?k=40f43e35-1ca13726-40f40f0a-0cc47adb5650-c048b52a2b043577&u=https://protect2.fireeye.com/url?k=d8055c7b-84514507-d8056d44-0cc47adc5fa2-762234a678e2d50f&u=https://www.soundhealthandlastingwealth.com/health-news/u-s-government-gave-3-7million-grant-to-wuhan-lab-that-experimented-on-coronavirus-source-bats/>

Congressman Gaetz is publicly criticizing HHS/NIH for funding the Wuhan laboratory's bat research. Here's this quote from another article: "I'm disgusted to learn that for years the US government has been funding dangerous and cruel animal experiments at the Wuhan Institute, which may have contributed to the global spread of coronavirus, and research at other labs in China that have virtually no oversight from US authorities."

- How long have we been giving research dollars to this lab?
- How much have we given?
- For what purpose?

(b) (5)



- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say?

(b) (5)



- Anything else we should know?

(b) (5)



Thanks much!
Sarah

From: Peter Daszak <(b) (6)>
Date: Tuesday, April 21, 2020 at 7:07 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records
2. My Program Officer for this award, Dr. Erik Stemmy & the Division Director (DMID), Dr. Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds from 2R01AI110964-06 have been sent to Wuhan Institute of Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course.

Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

Peter Daszak
President

EcoHealth Alliance
460 West 34th Street
New York, NY 10001
USA

Tel.: (b) (6)
Website: www.ecohealthalliance.org
Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 20, 2020 4:31 PM
To: Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>
Cc: Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>

Sent: Fri 4/24/2020 3:47:45 PM (UTC-05:00)
Subject: PLEASE READ -- Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
To: Aleksei Chmura <(b) (6)> Peter Daszak <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)> "Linde, Emily (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>
[Daszak letter 4 24 20.pdf](#)
[EcoHealth Alliance re AI grant 4 19 20.pdf](#)

Dear Dr. Chmura and Dr. Daszak

Please see attached.

Sincerely,
Michael S Lauer, MD

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Aleksei Chmura <(b) (6)>
Date: Thursday, April 23, 2020 at 1:50 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: Peter Daszak <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I read that we are in agreement and in compliance with all requests. Please let us know if anything further is required. We will continue in our usual close communication with our Program Officer Erik Stemmy.

Sincerely,

-Aleksei

Aleksei Chmura
*Chief of Staff &
Authorized Organizational Representative*

EcoHealth Alliance
460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (office)
(b) (6) (mobile)
www.ecohealthalliance.org

EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation.

On Apr 21, 2020, at 19:28, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Peter for your response.

We note that:

- No monies have gone to WIV on the Type 2 award and no contract has been signed.
- You agree that you will not provide any funds to WIV until and unless directed otherwise by NIH.
- All foreign sites for the Type 1 and Type 2 awards have been documented in the progress reports submitted to NIH.

We appreciate your working with us.

Best, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Peter Daszak <(b) (6)>
Date: Tuesday, April 21, 2020 at 7:07 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)>
"Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records
2. My Program Officer for this award, Dr. Erik Stemmy & the Division Director (DMID), Dr. Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds from 2R01AI110964-06 have been sent to Wuhan Institute of Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course. Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

Peter Daszak

President

EcoHealth Alliance
460 West 34th Street
New York, NY 10001
USA

Tel.: (b) (6)

Website: www.ecohealthalliance.org

Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 20, 2020 4:31 PM
To: Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>
Cc: Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Kevin Olival <(b) (6)>
Date: Monday, April 20, 2020 at 4:14 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak <(b) (6)> who is the PI and leading this project for EcoHealth Alliance.

2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,
Kevin

Kevin J. Olival, PhD
Vice President for Research

EcoHealth Alliance
460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (direct)
(b) (6) (mobile)
1.212.380.4465 (fax)

www.ecohealthalliance.org

EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

From: Naomi Schrag <(b) (6)>
Date: Sunday, April 19, 2020 at 11:59 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)"
<(b) (6)> Naomi Schrag <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,
I am acknowledging receipt of this letter and will get back to you as soon as I can.
Sincerely,
Naomi Schrag

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Sunday, April 19, 2020 11:00 AM
To: (b) (6) Naomi Schrag <(b) (6)>
Cc: Black, Jodi (NIH/OD) [E] <(b) (6)>
Subject: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892

Phone (b) (6)
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

<EcoHealth Alliance re AI grant 4 19 20[2].pdf><NoA R01AI110964-06.pdf><NoA R01AI110964-01.pdf>



National Institutes of Health
National Institute of Allergy
and Infectious Diseases
Bethesda, Maryland 20892

24 April 2020

Drs. Aleksei Chmura and Peter Daszak
EcoHealth Alliance, Inc.
460 W 34th St
Suite 1701
New York, NY 10001

Re: Termination of NIH Grant R01 AI 110964

Dear Drs. Chmura and Daszak:

I am writing to notify you that the National Institute of Allergy and Infectious Diseases (NIAID), an Institute within the National Institutes of Health (NIH), under the Department of Health and Human Services (HHS) has elected to terminate the project *Understanding the Risk of Bat Coronavirus Emergence*, funded under grant R01 AI110964, for convenience. This grant project was issued under the authorization of Sections 301 and 405 of the Public Health Service Act as amended (42 USC 241 and 284). This grant was funded as a discretionary grant as outlined in the [NIH Grants Policy Statement](#), which states that the decision not to award a grant, or to award a grant at a particular funding level, is at the discretion of the agency, in accordance with NIH's dual review system.

At this time, NIH does not believe that the current project outcomes align with the program goals and agency priorities. NIAID has determined there are no animal and human ethical considerations, as this project is not a clinical trial, but rather an observational study.

As a result of this termination, a total of \$369,819.56 will be remitted to NIAID and additional drawdowns will not be supported. The remaining funds have been restricted in the HHS Payment Management System, effective immediately.

Please let me know if you have any questions concerning the information in this letter.

Sincerely,

Lauer, Michael (NIH/OD) [E]
Digitally signed by Lauer, Michael (NIH/OD) [E]
Date: 2020.04.24 16:41:16 -04'00'

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
Email: (b) (6)

cc: Dr. Erik Stemmy
Ms. Emily Linde



Date: April 19, 2020

From: Michael S Lauer, MD
NIH Deputy Director for Extramural Research

Lauer, Michael
(NIH/OD) [E]
Digitally signed by Lauer,
Michael (NIH/OD) [E]
Date: 2020.04.19 10:47:40
-04'00'

To: Kevin Olival, PhD
Vice-President for Research
EcoHealth Alliance
(b) (6)

Naomi Schrag, JD
Vice-President for Research Compliance, Training, and Policy
Columbia University
(b) (6)

Subject: Project Number 2R01AI110964-06

Dear Dr. Olival and Ms. Schrag:

EcoHealth Alliance, Inc. is the recipient, as grantee, of an NIH grant entitled “Understanding the Risk of Bat Coronavirus Emergence.” It is our understanding that one of the sub-recipients of the grant funds is the Wuhan Institute of Virology (“WIV”). It is our understanding that WIV studies the interaction between corona viruses and bats. The scientific community believes that the coronavirus causing COVID-19 jumped from bats to humans likely in Wuhan where the COVID-19 pandemic began. There are now allegations that the current crisis was precipitated by the release from WIV of the coronavirus responsible for COVID-19. Given these concerns, we are pursuing suspension of WIV from participation in Federal programs.

While we review these allegations during the period of suspension, you are instructed to cease providing any funds from the above noted grant to the WIV. This temporary action is authorized by 45 C.F.R. § 75.371(d) (“Initiate suspension or debarment proceedings as authorized under 2 C.F.R. part 180”). The incorporated OMB provision provides that the funding agency may, through suspension, immediately and temporarily exclude from Federal programs persons who are not presently responsible where “immediate action is necessary to protect the public interest.” 2 C.F.R. § 180.700(c). It is in the public interest that NIH ensure that a sub-recipient has taken all appropriate precautions to prevent the release of pathogens that it is studying. This suspension of the sub-recipient does not affect the remainder of your grant assuming that no grant funds are provided to WIV following receipt of this email during the period of suspension.

Sent: Mon 4/20/2020 3:30:59 PM (UTC-05:00)
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
To: Kevin Olival <(b) (6)> <(b) (6)>
Cc: Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
[Screen Shot 2020-04-20 at 4.23.38 PM.png](#)
[EcoHealth Alliance re AI grant 4 19 20.pdf](#)

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Kevin Olival <(b) (6)>
Date: Monday, April 20, 2020 at 4:14 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak (b) (6) who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,
Kevin

Kevin J. Olival, PhD
Vice President for Research

EcoHealth Alliance
460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (direct)
(b) (6) (mobile)
1.212.380.4465 (fax)

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

From: Naomi Schrag <(b) (6)>
Date: Sunday, April 19, 2020 at 11:59 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)" <(b) (6)>
<(b) (6)> Naomi Schrag <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,
I am acknowledging receipt of this letter and will get back to you as soon as I can.
Sincerely,
Naomi Schrag

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Sunday, April 19, 2020 11:00 AM
To: (b) (6) Naomi Schrag <(b) (6)>
Cc: Black, Jodi (NIH/OD) [E] <(b) (6)>
Subject: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

FACULTY

OLIVAL, KEVIN J.

AFFILIATION/DEPARTMENT

EcoHealth Alliance

TELEPHONE

(b) (6)

EMAIL

(b) (6)

WEBSITE

<https://www.ecohealthalliance.org/personnel/dr-kevin-j-olival>

BACK TO FACULTY >>

FIND US! 

COURSES >>

PHONE (212) 854-9987
FAX (212) 854-8188
E3B@COLUMBIA.EDU

 Ecology, Evolution and
Environmental Biology

10TH FLOOR SCHERMERHORN EXT
1200 AMSTERDAM AVENUE
NEW YORK, NY 10027

SITE MAP

Search... 

Date: April 19, 2020

From: Michael S Lauer, MD
NIH Deputy Director for Extramural Research

Lauer, Michael
(NIH/OD) [E]
Digitally signed by Lauer,
Michael (NIH/OD) [E]
Date: 2020.04.19 10:47:40
-04'00'

To: Kevin Olival, PhD
Vice-President for Research
EcoHealth Alliance
(b) (6)

Naomi Schrag, JD
Vice-President for Research Compliance, Training, and Policy
Columbia University
(b) (6)

Subject: Project Number 2R01AI110964-06

Dear Dr. Olival and Ms. Schrag:

EcoHealth Alliance, Inc. is the recipient, as grantee, of an NIH grant entitled “Understanding the Risk of Bat Coronavirus Emergence.” It is our understanding that one of the sub-recipients of the grant funds is the Wuhan Institute of Virology (“WIV”). It is our understanding that WIV studies the interaction between corona viruses and bats. The scientific community believes that the coronavirus causing COVID-19 jumped from bats to humans likely in Wuhan where the COVID-19 pandemic began. There are now allegations that the current crisis was precipitated by the release from WIV of the coronavirus responsible for COVID-19. Given these concerns, we are pursuing suspension of WIV from participation in Federal programs.

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From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology
Sent: Wed 4/15/2020 6:23:08 AM (UTC-05:00)
[NoA R01AI110964-06.pdf](#)
[NoA R01AI110964-01.pdf](#)
[FACTS Snapshot for 2-R01-AI110964-06 DASZAK, PETER QVR.pdf](#)

Hi Larry – on the Type 1 total is 749,976. On the Type 2, looks like the total is 76,301 (so far). Thus total is 749,976+76,301=826,277.

It's a subcontract going through New York.

Mike

From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Date: Wednesday, April 15, 2020 at 7:12 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Mike – sorry – what is the total amount Wuhan has received since 2014?

Does the money go to NY and they send to Wuhan or do we send to Wuhan directly.

Thanks
Larry

From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Date: Wednesday, April 15, 2020 at 7:11 AM
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Cc: "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Thanks – just sent you budget details.

Mike

From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Date: Tuesday, April 14, 2020 at 10:12 PM
To: "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Cc: "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Thanks Emily.
Looping in Mike Lauer,
Larry

From: "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Date: Tuesday, April 14, 2020 at 10:11 PM
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)>
Subject: Fwd: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

I am forwarding draft response below to inquiry from Rubio et al earlier.

PI is Peter Dazsak, Eco Health alliance in NYC. Wuhan subcontract is approximately 74k per year. I will try to find more accurate subcontract numbers.

Sent from my iPad

Begin forwarded message:

From: "Abbey, Lillian (NIH/NIAID) [E]" <(b) (6)>
Date: April 14, 2020 at 4:24:34 PM EDT
To: "Cassetti, Cristina (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Cc: "Ford, Andrew (NIH/NIAID) [E]" <(b) (6)> "Bateman, Karen (NIH/NIAID) [E]" <(b) (6)> "Werner, Alyssa (NIH/NIAID) [E]" <(b) (6)> "Mulach, Barbara (NIH/NIAID) [E]" <(b) (6)>
Subject: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Dear Cristina and Emily,

Incorporated below in red font is a draft response Andrew developed based on his discussion with Erik. (b) (5)

Also, Andrew provided the attached publication from mid-March, noting that we may want to share it with the OD.

DRAFT RESPONSE:

Project Number:	2R01AI110964-06	Contact PI / Project Leader:	DASZAK, PETER
Title:	UNDERSTANDING THE RISK OF BAT CORONAVIRUS EMERGENCE	Awardee Organization:	ECOHEALTH ALLIANCE, INC.

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

1. What are the goals of the main grant:

(b) (5)

2. What are the specific activities supported by the sub to the Wuhan lab and the total costs associated with these activities. Please verify if the creation of recombinant bat in Wuhan is included in their research activities.

(b) (5)

Total award information is available in Reporter at link above but budget information about subcontracts is not publicly available as these awards are administered by the grantee institution.

From: Crawford, Chase (NIH/NIAID) [E] <(b) (6)>
Sent: Monday, April 13, 2020 5:41 PM
To: NIAID BUGS <(b) (6)>
Cc: Auchincloss, Hugh (NIH/NIAID) [E] <(b) (6)> Harper, Jill (NIH/NIAID) [E]
<(b) (6)> NIAID OCGR Leg <(b) (6)>
Subject: Request for information: Senate Qs - Wuhan Institute of Virology

Hi BUGS,

Staff to Senator Marco Rubio (R-FL) has forwarded an email to Building 1 from the White Coat Waste Project (see bottom of email chain). The forwarded message links to recent articles in The Daily Mail and the Washington Examiner on NIH support for previous coronavirus studies involving the Wuhan Institute of Virology. Building 1 has asked if NIAID has any information related to this research that we can share with staff to Senators Rubio and Mike Braun (R-IN).

To help us better understand this congressional request, is there any background information that you can provide on the activities discussed in the articles referenced below?

Thanks,
Chase
(b) (6)

From: LaMontagne, Karen (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 13, 2020 4:23 PM
To: NIAID OCGR Leg <(b) (6)>
Subject: Senate Qs - Wuhan Institute of Virology

Hi, NIAID,

Separately, we have heard from the offices of Senators Rubio and Braun about these linked articles:

[White Coat Waste](#)
[Daily Mail](#)
[Washington Examiner](#)

Both offices have asked if there's any information we can share with them related to this matter. Thanks in advance for anything you can provide.

Karen

From: Michelle Mitchell <(b) (6)>
Date: Monday, April 13, 2020 at 3:42 PM
To: Karen LaMontagne <(b) (6)>
Subject: Sen. Rubio question - NIH funding Wuhan virus lab

Hey Karen,

Sen. Rubio's staff, Ansley Rhyne, forwarded the email below that she received regarding NIH funding for the Wuhan Institute of Virology. Her boss, along with Rep. Gaetz are working on a letter to ensure no taxpayer dollars are sent to that Institute.

Ansley requested our input. Would you ask NIAID for any information on this issue that we could be shared with Ansley?

Thank you.

MM

From: Justin Goodman <justin@whitecoatwaste.org>

Sent: Monday, April 13, 2020 2:36 PM

To:

Subject: Laura- NIH funding Wuhan virus lab

I hope you had a nice weekend and are staying safe and healthy. I wanted to make sure you saw that our taxpayer watchdog group just [exposed](#) that **the National Institutes of Health (NIH) has been sending tax dollars to the controversial Wuhan Institute of Virology for years, including for dangerous lab experiments on coronavirus-infected bats captured from caves.** The [Daily Mail](#), [Washington Examiner](#), Drudge and others ran stories about the troubling find over the weekend.

We're working with Rep. Matt Gaetz (R-FL) and others on a sign-on letter about this and would love to work with you and Senator Rubio as well to ensure no more tax dollars are shipped to the Wuhan Institute of Virology.

I'd be happy to send over more info if you're interested and answer any questions you may have.

Thanks for looking,

Justin

Justin Goodman, M.A.

Vice President, Advocacy and Public Policy

White Coat Waste Project

*Taxpayers shouldn't be forced to pay \$20 billion+ for **wasteful** government animal experiments.*

PO Box 26029

Washington, DC 20001

Phone: 860.882.2492

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NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 2R01AI110964-06 REVISED

FAIN: R01AI110964

Principal Investigator(s):

PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus Emergence

Dr. Daszak, Peter
PD/PI
460 West 34th Street
Suite 1701
New York, NY 100012320

Award e-mailed to: (b) (6)

Period Of Performance:

Budget Period: 07/24/2019 – 06/30/2020

Project Period: 06/01/2014 – 06/30/2024

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect a decrease in the amount of \$71,770 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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 your ,

Tseday G Girma
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 2R01AI110964-06 REVISED**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$170,123
Fringe Benefits	\$53,590
Personnel Costs (Subtotal)	\$223,713
Consultant Services	\$49,750
Materials & Supplies	\$20,850
Travel	\$15,027
Subawards/Consortium/Contractual Costs	\$229,651

Federal Direct Costs	\$538,991
Federal F&A Costs	\$122,989
Approved Budget	\$661,980
Total Amount of Federal Funds Obligated (Federal Share)	\$661,980
TOTAL FEDERAL AWARD AMOUNT	\$661,980

AMOUNT OF THIS ACTION (FEDERAL SHARE) (\$-71,770)

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
6	\$661,980	\$661,980
7	\$637,980	\$637,980
8	\$637,980	\$637,980
9	\$637,980	\$637,980
10	\$637,980	\$637,980

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

Fiscal Information:

CFDA Name: Allergy and Infectious Diseases Research
CFDA Number: 93.855
EIN: 1311726494A1
Document Number: RAI110964B
PMS Account Type: P (Subaccount)
Fiscal Year: 2019

IC	CAN	2019	2020	2021	2022	2023
AI	8472364	\$661,980	\$637,980	\$637,980	\$637,980	\$637,980

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

NIH Administrative Data:

PCC: M51C B / **OC:** 414B / **Released:** (b) (6) 08/02/2019
Award Processed: 08/05/2019 12:01:51 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 2R01AI110964-06 REVISED

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

SECTION III – TERMS AND CONDITIONS – 2R01AI110964-06 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:

- 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.

- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

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

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

This 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) R01AI110964. 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 include 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, recipient organizations that have currently active Federal grant, cooperative agreement, 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 II to 45 CFR Part 75. This term does not apply to NIH fellowships.

SECTION IV – AI Special Terms and Conditions – 2R01AI110964-06 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 adjust the budget in accordance with the letter from Aleksei Chmura/ECOHealth Alliance.

Supersedes previous Notice of Award dated **07/24/2019**.

This Notice of Award (NoA) includes funds for activity with **The University of North Carolina at Chapel Hill** in the amount of **\$77,750 (\$50,000 direct costs + \$27,750 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Wuhan Institute of Virology** in the amount of **\$76,301 (\$70,649 direct costs + \$5,652 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Institute of Pathogen Biology** in the amount of **\$75,600 (\$70,000 direct costs + \$5,600 F&A costs)**.

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:

Wuhan Institute of Virology, CHINA

Institute of Pathogen Biology, CHINA

East China Normal University, CHINA

Duke-NUS Medical School, SINGAPORE

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

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.

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

Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated in the page(s) **203** 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.

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.

Awardees who conduct research involving Select Agents (see 42 CFR 73 for the Select Agent list; and 7 CFR 331 and 9 CFR 121 for the relevant animal and plant pathogens at <http://www.selectagents.gov/Regulations.html>) must complete registration with CDC (or APHIS, depending on the agent) before using NIH funds. No funds can be used for research involving Select Agents if the final registration certificate is denied.

Prior to conducting a restricted experiment with a Select Agent or Toxin, awardees must notify the NIAID and must request and receive approval from CDC or APHIS.

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 Report 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 point

Any change in the use of the Agent() or Toxin() including 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() 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.

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: Tseday G Girma

Email: (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: (b) (6) **Phone:** (b) (6)

SPREADSHEET SUMMARY

GRANT NUMBER: 2R01AI110964-06 REVISED

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 6	Year 7	Year 8	Year 9	Year 10
Salaries and Wages	\$170,123	\$170,123	\$170,123	\$170,123	\$170,123
Fringe Benefits	\$53,590	\$53,590	\$53,590	\$53,590	\$53,590
Personnel Costs (Subtotal)	\$223,713	\$223,713	\$223,713	\$223,713	\$223,713
Consultant Services	\$49,750	\$49,750	\$49,750	\$49,750	\$49,750
Materials & Supplies	\$20,850	\$14,850	\$14,850	\$14,850	\$14,850
Travel	\$15,027	\$15,027	\$15,027	\$15,027	\$15,027
Subawards/Consortium/Contractual Co t	\$229,651	\$229,651	\$229,651	\$229,651	\$229,651
Publication Co t		\$6,000	\$6,000	\$6,000	\$6,000
TOTAL FEDERAL DC	\$538,991	\$538,991	\$538,991	\$538,991	\$538,991
TOTAL FEDERAL F&A	\$122,989	\$98,989	\$98,989	\$98,989	\$98,989
TOTAL COST	\$661,980	\$637,980	\$637,980	\$637,980	\$637,980

Facilitie and Admini trative Co t	Year 6	Year 7	Year 8	Year 9	Year 10
F&A Co t Rate 1	32%	32%	32%	32%	32%
F&A Co t Ba e 1	\$384,340	\$309,340	\$309,340	\$309,340	\$309,340
F&A Co t 1	\$122,989	\$98,989	\$98,989	\$98,989	\$98,989



Grant Number: 1R01AI110964-01
FAIN: R01AI110964

Principal Investigator(s):
PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus Emergence

Aleksei
President
460 West 34th Street
17th Floor
New York, NY 100012317

Award e-mailed to: (b) (6)

Budget Period: 06/01/2014 – 05/31/2015
Project Period: 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$666,442 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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,

Laura A. Pone
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 1R01AI110964-01**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$167,708
Fringe Benefits	\$54,168
Supplies	\$21,400
Travel Costs	\$35,918
Other Costs	\$10,000
Consortium/Contractual Cost	\$227,663

Federal Direct Costs	\$516,857
Federal F&A Costs	\$149,585
Approved Budget	\$666,442
Federal Share	\$666,442
TOTAL FEDERAL AWARD AMOUNT	\$666,442

AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$666,442
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$666,442	\$666,442
2	\$630,445	\$630,445
3	\$611,090	\$611,090
4	\$597,112	\$597,112
5	\$581,646	\$581,646

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

Fiscal Information:

CFDA Number:	93.855
EIN:	1311726494A1
Document Number:	RAI110964A

PMS Account Type:	P (Subaccount)
Fiscal Year:	2014

IC	CAN	2014	2015	2016	2017	2018
AI	8472350	\$666,442	\$630,445	\$611,090	\$597,112	\$581,646

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

NIH Administrative Data:

PCC: M51C / OC: 414A / Released: (b) (6) 05/20/2014

Award Processed: 05/08/2014 01:52:21 PM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01AI110964-01

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

SECTION III – TERMS AND CONDITIONS – 1R01AI110964-01

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

- a. The grant program legislation and program regulation cited in this Notice of Award.

- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. 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.)

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 Central Contractor Registration. 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) R01AI110964. 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://publicacces.nih.gov/>

Treatment of Program Income: Additional Cost

SECTION IV – AI Special Terms and Conditions – 1R01AI110964-01

THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF AWARD.

RESTRICTION: This award is issued with the knowledge that subjects may be involved within the period of support, but definite plans were not set forth in the application as per 45 CFR 46.118. No human subjects may be involved in any project supported by this award until all requirements for Human Subjects research as identified in the PHS398/SF424 Instructions have been provided to and approved by NIH.

RESTRICTION: The present award is being made without a currently valid certification of IRB approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the NIAID's acceptance of the certification of IRB review and approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects prior to the NIAID's notification to the grantee that the identified issues have been resolved and this restriction removed.

~~~~~  
This award includes funds for subcontract/consortium activity with Wuhan Institute of Virology, CHINA and is budgeted as follows:

|                      | -Yr 1     | -Yr 2     | -Yr 3     | -Yr 4     | -Yr 5     |
|----------------------|-----------|-----------|-----------|-----------|-----------|
| Total Direct Costs   | \$123,699 | \$128,718 | \$147,335 | \$147,335 | \$147,335 |
| F&A Costs @ 8%(MTDC) | \$9,896   | \$10,297  | \$11,787  | \$11,787  | \$11,787  |
| TOTAL COSTS          | \$133,595 | \$139,015 | \$159,122 | \$159,122 | \$159,122 |

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~  
This award includes funds for subcontract/consortium activity with East China Normal University, CHINA and is budgeted as follows:

	-Yr 1	-Yr 2	-Yr 3	-Yr 4	-Yr 5
Total Direct Costs	\$87,100	\$67,300	\$50,108	\$39,167	\$14,850
F&A Costs @ 8%(MTDC)	\$6,968	\$5,384	\$4,009	\$3,133	\$2,404
TOTAL COSTS	\$94,068	\$72,684	\$54,117	\$42,300	\$32,454

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~ 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 a change in an ongoing experiment that would require change in the bio safety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individual who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.electagent.gov/Regulation.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/oh/biofty/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 Bio safety 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 Agent and/or Highly Pathogenic Agent, 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.

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: Laura A. Pone

Email: (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: (b) (6) **Phone:** (b) (6)

SPREADSHEET SUMMARY

GRANT NUMBER: 1R01AI110964-01

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$167,708	\$167,708	\$167,708	\$167,708	\$167,708
Fringe Benefit	\$54,168	\$54,168	\$54,168	\$54,168	\$54,168
Supplies	\$21,400	\$19,250	\$7,250	\$7,000	\$3,500
Travel Cost	\$35,918	\$35,918	\$35,918	\$35,918	\$35,918
Other Cost	\$10,000	\$13,550	\$11,050	\$9,800	\$9,400
Contingent/Contractual Cost	\$227,663	\$211,699	\$213,239	\$201,422	\$191,576
TOTAL FEDERAL DC	\$516,857	\$502,293	\$489,333	\$476,016	\$462,270
TOTAL FEDERAL F&A	\$149,585	\$128,152	\$121,757	\$121,096	\$119,376
TOTAL COST	\$666,442	\$630,445	\$611,090	\$597,112	\$581,646

Facilities and Administrative Cost	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	44.1%	44.1%	44.1%	44.1%	44.1%
F&A Cost Base 1	\$339,194	\$290,594	\$276,094	\$274,594	\$270,694
F&A Cost 1	\$149,585	\$128,152	\$121,757	\$121,096	\$119,376

QVR FACTS

FACTS Data Snapshot for: 2-R01-AI110964-06 (DASZAK, PETER)
Understanding the Risk of Bat Coronavirus Emergence

PRINTCLOSE

Appl Id: 9819304

Launch the FACTS System [FACTS](#)

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Project Info	
Project Number	2-R01-AI110964-06 (as reflected under competing project number 2-R01-AI110964-06 in FACTS)
PI Name	DASZAK, PETER
Org Name	ECOHEALTH ALLIANCE, INC.
Project Title	Understanding the Risk of Bat Coronavirus Emergence
FY/Project Dates	2019 (Project Period from 2014-06-01 to 2024-06-30)
Project Status	Awarded (05)
Foreign Appl Flag	Domestic Application with Foreign Collaboration (Z)

CHINA

State Department Clearance Request (SDCR ID 219890)

NIAID Contact

SDCR ACTIONS

ACTION DATES

Click the - to hide the Research Objective listed on State Department Clearance.

This work is an extension and renewal of a previous award, approved under clearances 202191 and 211200. The aims of this research project are to examine the mechanism through which coronaviruses (CoVs) jump from animal hosts/reservoirs to humans (spillover events). To accomplish this work the PI and his team will conduct detailed surveillance for coronaviruses in four provinces: Yunnan, Guizhou, Guangxi, and Guangdong. The exact sites have not yet been identified; as in the previous award, sites will be selected from the four provinces as work progresses. Surveillance will include sampling of wild bat populations. Samples will be collected from animals from each of these sites, and will be analyzed to determine what coronaviruses are present, and whether the viruses are able to infect humans. The investigators plan to collect samples from bats, approximately 5,000 samples total from 15-20 species across all four provinces. Animals will be captured and lightly anesthetized if necessary. They will be swabbed (mouth/nose, urogenital tract, and rectum), and a small amount of blood will be collected. If available, feces and urine will also be collected. Nearly all wild bats will be released unharmed after sampling. A small number of bats (maximum of 2 per species) may be euthanized in order to collect lung and intestinal tissue required for characterizing viral receptors. In order to understand whether select strains of bat-borne CoVs utilize receptors found in bats have the potential to infect people, the investigators will use mice that have been genetically modified to express the human receptor for SARS-CoV. The investigators anticipate identifying 5-6 SARS-related-CoVs that will be tested in mice, using approximately 15-20 mice per virus strain. A maximum of 120 mice will be used for this work over the project. All work involving samples and viral isolates from bats will be performed at the Wuhan Institute of Virology. All animal work will be performed by trained individuals in accordance with the American Veterinary Medical Association guidelines, and the project is overseen by veterinarians. This work has also been reviewed and approved by the investigator's Institutional Animal Care and Use Committee. This project will also study human exposure to animal coronaviruses across the same four provinces in southern China. Samples will be collected from each of these sites from individuals who 1) who are highly exposed to bats in community settings, including through hunting, butchering, or general handling within the context of their living or working environment (18+ years old); and 2) patients admitted to hospitals and clinics presenting with disease symptoms of clinically-defined severe/acute respiratory illness (SARI/ARI) or Influenza-like illness (ILI) of unknown origin (12+ years old). Subjects will be enrolled on a voluntary basis and informed consent will be obtained from all participants. Consenting participants will provide biological samples and complete a questionnaire at the time of acute illness and 35 days after resolution of illness. There will be no follow-up among community participants after initial sample collection. The study population will be selected from the Yunnan, Guangxi, Guangdong, and Guizhou provinces of China. They plan to enroll: 1) in 12 clinic sites across the four provinces, 2,750 individuals (accounting for an estimated 40% loss from follow-up); and 2) in 8 community sites, 1,650 individuals per each of the four provinces, pooled across two sites for each province for a total of 6,660 participants. Enrollment is anticipated to be 100% Asian, with a 50/50 split between males and females. All human subject work will be managed by the team at the Institute for Pathogen Biology.

Bernabe, Gayle

Phone: (b) (6)

Approved

Approve

Submit to State Department

Send to Agency

IC Update

IC Save

2019-05-30

2019-05-30

2019-05-29

2019-05-28

2019-05-24

2019-05-10

Collaborator/Site (Site ID: 262256)

Site Flags

Budget Period

Budget Amt

Verified By

Verified Date

ZHU, GUANGJIAN

EAST CHINA NORMAL UNIVERSITY

School of Life Science, B327

Science building, 3663 Zhongshan Beilu

Shanghai 200062

Animals: Y

FWA:

Humans: N

Collaborator/Site (Site ID: 262253)

Site Flags

Budget Period

Budget Amt

Verified By

Verified Date

GUO, LI

INSTITUTE OF PATHOGEN BIOLOGY

Dong Dan San Tiao, No. 9

Dongcheng District

Beijing 100730

Animals: N

FWA: Y

Humans: Y

Collaborator/Site (Site ID: 262252)

Site Flags

Budget Period

Budget Amt

Verified By

Verified Date

REN, L LI

INSTITUTE OF PATHOGEN BIOLOGY

Dong Dan San Tiao, No. 9

Dongcheng District

Beijing 100730

Animals: N

FWA: Y

Humans: Y

Collaborator/Site (Site ID: 262251) HU, BEN WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 261948) SHI, ZHENG LI WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 262250) ZHOU, PENG WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date

SINGAPORE

State Department Clearance Request (SDCR ID 219753)

NIAID Contact

SDCR ACTIONS

ACTION DATES

Click the + to show the Research Objective listed on State Department Clearance

[Bernabe, Gayle](#)
Phone: 301-451-1018**Approved**
Auto Approval
Send to Agency
Submit to State Department
IC Save**2019-05-20**
2019-05-20
2019-05-06
2019-05-06
2019-05-01

Collaborator/Site (Site ID: 262258) WANG, LINFA DUKE-NUS MEDICAL SCHOOL 8 College Road Singapore 169857	Site Flags Animals: N FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
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From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
To: "Collins, Francis (NIH/OD) [E]" <(b) (6)> "Fauci, Anthony (NIH/NIAID) [E]" <(b) (6)>
Cc: "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)> "Fenton, Matthew (NIH/NIAID) [E]" <(b) (6)>
<(b) (6)> "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
<(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Subject: HEADS UP: Wuhan lab research
Sent: Wed 4/15/2020 9:58:57 AM (UTC-05:00)

Francis, Tony -

The WH has strongly embraced concerns raised by Congressman Gaetz who is publicly [criticizing](#) HHS/NIH for funding the Wuhan laboratory's bat research. Here's this quote from another article: "I'm disgusted to learn that for years the US government has been funding dangerous and cruel animal experiments at the Wuhan Institute, which may have contributed to the global spread of coronavirus, and research at other labs in China that have virtually no oversight from US authorities."

This is a large multi- country study with Wuhan being one site. The principal investigator, Peter Daszak, is based in NY at Ecohealth Alliance, Inc

Project Number:	2R01AI110964-06	Contact PI / Project Leader:	DASZAK, PETER
Title:	UNDERSTANDING THE RISK OF BAT CORONAVIRUS EMERGENCE	Awardee Organization:	ECOHEALTH ALLIANCE, INC.

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

The 3.7M dollar figure is the total over 6 years to all sites which include (several in) China, Thailand, Cambodia, Laos, Vietnam, Malaysia, Indonesia, and Myanmar. (b) (5)
It is in year 6 of a total of 10 year.

More by phone.
Larry

From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
To: Aleksei Chmura <(b) (6)>
Cc: Peter Daszak <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)> Compliance Review <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Sent: Thur 4/23/2020 12:59:24 PM (UTC-05:00)

Many thanks Aleksei.

Best, Mike

From: Aleksei Chmura <(b) (6)>
Date: Thursday, April 23, 2020 at 1:50 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: Peter Daszak <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I read that we are in agreement and in compliance with all requests. Please let us know if anything further is required. We will continue in our usual close communication with our Program Officer Erik Stemmy.

Sincerely,

-Aleksei

Aleksei Chmura
*Chief of Staff &
Authorized Organizational Representative*

EcoHealth Alliance
460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (office)
(b) (6) (mobile)
www.ecohealthalliance.org

EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation.

On Apr 21, 2020, at 19:28, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Peter for your response.

We note that:

- No monies have gone to WIV on the Type 2 award and no contract has been signed.
- You agree that you will not provide any funds to WIV until and unless directed otherwise by NIH.
- All foreign sites for the Type 1 and Type 2 awards have been documented in the progress reports submitted to NIH.

We appreciate your working with us.

Best, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research

From: Peter Daszak <(b) (6)>
Date: Tuesday, April 21, 2020 at 7:07 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)>
"Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]"
<(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records
2. My Program Officer for this award, Dr. Erik Stemmy & the Division Director (DMID), Dr. Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds from 2R01AI110964-06 have been sent to Wuhan Institute of Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course. Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

Peter Daszak
President

EcoHealth Alliance
460 West 34th Street
New York, NY 10001
USA

Tel.: (b) (6)
Website: www.ecohealthalliance.org
Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 20, 2020 4:31 PM
To: Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>
Cc: Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Kevin Olival <(b) (6)>
Date: Monday, April 20, 2020 at 4:14 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak <(b) (6)> who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,
Kevin

Kevin J. Olival, PhD
Vice President for Research

EcoHealth Alliance
460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (direct)
(b) (6) (mobile)
1.212.380.4465 (fax)

www.ecohealthalliance.org

EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

From: Naomi Schrag <(b) (6)>
Date: Sunday, April 19, 2020 at 11:59 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>, (b) (6)
<(b) (6)> Naomi Schrag <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,
I am acknowledging receipt of this letter and will get back to you as soon as I can.
Sincerely,
Naomi Schrag

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Sunday, April 19, 2020 11:00 AM
To: (b) (6) Naomi Schrag <(b) (6)>
Cc: Black, Jodi (NIH/OD) [E] <(b) (6)>
Subject: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

<EcoHealth Alliance re AI grant 4 19 20[2].pdf><NoA R01AI110964-06.pdf><NoA R01AI110964-01.pdf>

From: "Pence, Laura (HHS/ASL)" <(b) (6)>
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Cc: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/NHLBI) [E]" <(b) (6)>
Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Arbes, Sarah (HHS/ASL)" <(b) (6)>
Subject: RE: Wuhan lab research
Sent: Wed 4/15/2020 7:32:17 AM (UTC-05:00)

Got it, thanks!

From: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
Sent: Wednesday, April 15, 2020 8:24 AM
To: Pence, Laura (HHS/ASL) <(b) (6)> Wolinetz, Carrie (NIH/OD) [E] <(b) (6)>
Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/NHLBI) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

Clarifying the resources to the Wuhan group:

Type 1 total is 749,976. The Type 2, is 76,301 (so far). Thus total for all years is: 749,976+76,301= 826,277. (b) (5)

It's a subcontract going through New York.

Let us know if you need anything else.
Larry

From: "Pence, Laura (HHS/ASL)" <(b) (6)>
Date: Wednesday, April 15, 2020 at 7:19 AM
To: "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Cc: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)>
<(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>
<(b) (6)> "Arbes, Sarah (HHS/ASL)" <(b) (6)>
Subject: Re: Wuhan lab research

This is great, thanks!

On Apr 15, 2020, at 7:05 AM, Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> wrote:

And this news release has a pretty good lay level summary of it, if it's useful: :
<https://www.sciencedaily.com/releases/2020/03/200317175442.htm> Cheers, Carrie

From: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
Sent: Wednesday, April 15, 2020 6:56 AM
To: Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> Pence, Laura (HHS/ASL) <(b) (6)>
Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>
<(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

Attached is the paper Carrie is referring to.
Larry

From: "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>

Date: Wednesday, April 15, 2020 at 6:50 AM

To: "Pence, Laura (HHS/ASL)" <(b) (6)> "Tabak, Lawrence (NIH/OD) [E]"

<(b) (6)>

Cc: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]"

<(b) (6)>

"Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Arbes, Sarah (HHS/ASL)"

<(b) (6)>

Subject: RE: Wuhan lab research

Laura,

(b) (5)

(b) (5)

Cheers, Carrie

From: Pence, Laura (HHS/ASL) <(b) (6)>

Sent: Tuesday, April 14, 2020 11:32 PM

To: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>

Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)>

Lauer, Michael (NIH/OD) [E]

<(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)>

Wolinetz, Carrie (NIH/OD) [E]

<(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>

Subject: Re: Wuhan lab research

Gotcha, thanks! If you have that info tomorrow morning that would be great. (b) (5)

Can't thank you enough for all the info you've already gotten to us on this. It will be very helpful.

On Apr 14, 2020, at 10:53 PM, Tabak, Lawrence (NIH/OD) [E] <(b) (6)> wrote:

Mike Lauer will need to answer this- it is a sub project to the NY grant but I don't know if funding is direct or via NY.

Larry

Sent from my iPhone

On Apr 14, 2020, at 10:51 PM, Pence, Laura (HHS/ASL) <(b) (6)> wrote:

Really helpful, thanks! So the PI in NY is the grantee and the institute in Wuhan is subgrantee? Or Wuhan receives funding directly from NIH?

On Apr 14, 2020, at 10:43 PM, Tabak, Lawrence (NIH/OD) [E]

<(b) (6)>

wrote:

Laura,

Still working on some confirmation of details, but this work is part of a large multi- country study with Wuhan being one site. The principal investigator, Peter Daszak, is based in NY at Ecohealth Alliance, Inc

Project 2R01AI110964-06

Contact PI /

DASZAK, PETER

Number:

Project Leader:

Title: UNDERSTANDING THE RISK OF BAT
CORONAVIRUS EMERGENCE

Awardee ECOHEALTH ALLIANCE, INC.
Organization:

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

How long have we been giving research dollars to this lab? (b) (5)

- How much have we given? (b) (5)

- For what purpose? (b) (5)

- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say

- (b) (5)

Anything else we should know? (b) (5)

Please let us know if you need anything else.
Larry

From: "Pence, Laura (HHS/ASL)" <(b) (6)>

Date: Tuesday, April 14, 2020 at 9:47 PM

To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>

"Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)> "Schwetz,
Tara (NIH/OD) [E]" <(b) (6)>

Subject: Wuhan lab research

Hi! Can we get info on this ASAP? Need for the morning. Sorry for the fire drill.

Begin forwarded message:

From: "Arbes, Sarah (HHS/ASL)" <(b) (6)>

Date: April 14, 2020 at 9:30:23 PM EDT

To: "Hallett, Adrienne (NIH/OD) [E]"

<(b) (6)> "Pence, Laura (HHS/ASL)"

(b) (6)

Cc: "Morse, Sara (HHS/ASL)" (b) (6)

Subject: For AMA in the morning

Adrienne and Laura –

Can you please help me run ground truth to this article?:

<https://protect2.fireeye.com/url?k=f08a61fa-acdf682a-f08a50c5-0cc47a6a52de-b99d5f233732d661&u=https://protect2.fireeye.com/url?k=79bfb5e8-25eb9cc3-79bf84d7-0cc47a6d17cc-7fe08f9f909251fb&u=https://protect2.fireeye.com/url?k=40f43e35-1ca13726-40f40f0a-0cc47adb5650-c048b52a2b043577&u=https://protect2.fireeye.com/url?k=d8055c7b-84514507-d8056d44-0cc47adc5fa2-762234a678e2d50f&u=https://www.soundhealthandlastingwealth.com/health-news/u-s-government-gave-3-7million-grant-to-wuhan-lab-that-experimented-on-coronavirus-source-bats/>

Congressman Gaetz is publicly criticizing HHS/NIH for funding the Wuhan laboratory's bat research. Here's this quote from another article: "I'm disgusted to learn that for years the US government has been funding dangerous and cruel animal experiments at the Wuhan Institute, which may have contributed to the global spread of coronavirus, and research at other labs in China that have virtually no oversight from US authorities."

- How long have we been giving research dollars to this lab?
- How much have we given?
- For what purpose?

(b) (5)

- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say?

(b) (5)

- Anything else we should know?

(b) (5)

Thanks much!

Sarah

From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: Re: URGENT -- info you requested re Wuhan
Sent: Mon 4/20/2020 2:06:26 PM (UTC-05:00)

Ok thanks; (b) (5)
Larry

From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Date: Monday, April 20, 2020 at 2:59 PM
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: URGENT -- info you requested re Wuhan

Hi Larry – here’s what we have from NIAID. We are independently requesting info from Columbia.
Best, Mike

R01-AI-110964, Peter Daszak, PI to ECOHEALTH ALLIANCE

Initial competitive segment (starting with Type 1, grant years 01-05 funded from 06/01/2014 - 05/31/2019)
Funded Chinese sites:
East China Normal University, Shanghai \$295,623 (5 years)
Wuhan Inst. Virology, Wuhan \$749,966 (5 years)

Chinese collaborators (no funds awarded) also located at:
Center for Disease Control and Prevention, Guangzhou
Guangdong Entomological Institute, Shanghai
Yunnan Institute of Endemic Diseases Control and Prevention, Dali

Second competitive segment (starting with Type 2, revised NOA)
Currently in year 6 (budget period ends 6/30/2020, project period ends 6/30/2024)
Funded Chinese sites:
Institute of Pathogen Biology, Beijing \$75,600 (1 year)
Wuhan Institute of Virology, Wuhan \$76,301 (1 year)

Chinese collaborators also located at:
East China Normal University, Shanghai receiving consultant costs for \$49,750 (1 year)

From: Naomi Schrag <(b) (6)>
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Sent: Tue 4/21/2020 10:04:04 AM (UTC-05:00)

Dear Mike,

Thank you very much for your email of yesterday. I regret that I did not give you a fuller explanation and can understand how this was confusing.

In looking at it again, I know the department's About page explains that, to achieve a multi-disciplinary perspective, E3B maintains ties to some faculty affiliated with partner institutions such as EcoHealth Alliance, and the American Museum of Natural History. They distinguish between "Core Faculty" and "Affiliated & Adjunct Faculty." That said, I want to stress that this context is not visible on the Faculty page you looked at. I am following up today to see whether it is possible to reformat the page.

Thank you so very much for letting me know that our pages are not clear. We certainly want them to be.

Sincerely,
Naomi

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 20, 2020 6:35 PM
To: Naomi Schrag <(b) (6)> Kevin Olival <(b) (6)> (b) (6)
Cc: Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Thanks Naomi – not the impression an observer would get looking at the website (see screen shot), but we understand about the grant.

If they "are entirely separate entities" then why does Columbia identify EcoHealth Alliance as an "Affiliation/Department" on its website.

Maybe with the label "Affiliation/Department" you would have a clearly visible disclaimer that says, "EcoHealth Alliance is not affiliated with nor a department of Columbia"? – although even that is internally contradictory.

Best, Mike

From: Naomi Schrag <(b) (6)>
Date: Monday, April 20, 2020 at 5:19 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> Kevin Olival <(b) (6)>
(b) (6) <(b) (6)>
Cc: Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,

Columbia and EcoHealth Alliance are entirely separate entities. Some individuals affiliated with EcoHealth Alliance do have adjunct appointments in Columbia's Ecology, Evolution, and Environmental Biology ("E3B") department, but we are not aware of any Columbia involvement with the referenced grant, and have found no agreement or record in our grants system to the contrary.

We would be happy to answer any additional questions. Thank you.

Sincerely,
Naomi Schrag

Naomi J. Schrag
Vice President for Research Compliance, Training and Policy
Office of Research Compliance and Training
475 Riverside Drive, Suite 840
New York, New York 10115

(b) (6)

www.researchcompliance.columbia.edu

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>

Sent: Monday, April 20, 2020 4:31 PM

To: Kevin Olival <(b) (6)>

Cc: Naomi Schrag <(b) (6)>

<(b) (6)>

Black, Jodi (NIH/OD) [E] <(b) (6)>

Lauer, Michael (NIH/OD) [E]

Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Importance: High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Kevin Olival <(b) (6)>

Date: Monday, April 20, 2020 at 4:14 PM

To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>

Cc: Naomi Schrag <(b) (6)>

"Black, Jodi (NIH/OD) [E]" <(b) (6)>

Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak (b) (6) who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,
Kevin

Kevin J. Olival, PhD
Vice President for Research

EcoHealth Alliance

460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (direct)
(b) (6) (mobile)
1.212.380.4465 (fax)

www.ecohealthalliance.org

EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

From: Naomi Schrag <(b) (6)>
Date: Sunday, April 19, 2020 at 11:59 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)" <(b) (6)>
<(b) (6)> Naomi Schrag <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,
I am acknowledging receipt of this letter and will get back to you as soon as I can.
Sincerely,
Naomi Schrag

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Sunday, April 19, 2020 11:00 AM
To: (b) (6) Naomi Schrag <(b) (6)>
Cc: Black, Jodi (NIH/OD) [E] <(b) (6)>
Subject: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

Date: Wednesday, April 22, 2020 at 9:56 AM

To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>

Cc: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>

"Black, Jodi (NIH/OD) [E]"

<(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>

Subject: Wuhan Lab

Hi Larry – in follow-up to our 1:1 earlier today, (b) (5)

(b) (5)



Many thanks,

Mike

<State Department cables warned of safety issues at Wuhan lab studying bat coronaviruses - The Washington Post.pdf>

<China Lab In Focus Of Coronavirus Outbreak.pdf>

<Coronavirus China Origin in Wuhan Lab Unproven, But Denials Unconvincing National Review.pdf>

<Botao Xiao origins of COVID 19 virus.pdf>

<PIIS0140673620301835.pdf>

<Daszak letter 4 24 20.pdf>

<EcoHealth Alliance re AI grant 4 19 20.pdf>

From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
To: "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)> "Pence, Laura (HHS/ASL)" <(b) (6)>
Cc: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
"Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Arbes, Sarah (HHS/ASL)" <(b) (6)>
Subject: Re: Wuhan lab research
Sent: Wed 4/15/2020 5:56:24 AM (UTC-05:00)
[Proximal origin of SARS-CoV-2.pdf](#)

Attached is the paper Carrie is referring to.
Larry

From: "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Date: Wednesday, April 15, 2020 at 6:50 AM
To: "Pence, Laura (HHS/ASL)" <(b) (6)> "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
"Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Arbes, Sarah (HHS/ASL)" <(b) (6)>
Subject: RE: Wuhan lab research

Laura,

(b) (5)

(b) (5) Cheers, Carrie

From: Pence, Laura (HHS/ASL) <(b) (6)>
Sent: Tuesday, April 14, 2020 11:32 PM
To: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

Gotcha, thanks! If you have that info tomorrow morning that would be great. (b) (5)

Can't thank you enough for all the info you've already gotten to us on this. If will be very helpful.

On Apr 14, 2020, at 10:53 PM, Tabak, Lawrence (NIH/OD) [E] <(b) (6)> wrote:

Mike Lauer will need to answer this- it is a sub project to the NY grant but I don't know if funding is direct or via NY.
Larry

Sent from my iPhone

On Apr 14, 2020, at 10:51 PM, Pence, Laura (HHS/ASL) <(b) (6)> wrote:

Really helpful, thanks! So the PI in NY is the grantee and the institute in Wuhan is subgrantee? Or Wuhan receives funding directly from NIH?

On Apr 14, 2020, at 10:43 PM, Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
wrote:

Laura,

Still working on some confirmation of details, but this work is part of a large multi- country study with Wuhan being one site. The principal investigator, Peter Daszak, is based in NY at Ecohealth Alliance, Inc

Project 2R01AI110964-06
Number:

Contact PI / DASZAK, PETER
Project Leader:

Title: UNDERSTANDING THE RISK OF BAT
CORONAVIRUS EMERGENCE

Awardee ECOHEALTH ALLIANCE, INC.
Organization:

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

How long have we been giving research dollars to this lab? The work began in 2014

- How much have we given? (b) (5)

-
- For what purpose? (b) (5)

-
- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say
- (b) (5)

Anything else we should know? (b) (5)

Please let us know if you need anything else.
Larry

From: "Pence, Laura (HHS/ASL)" <(b) (6)>

Date: Tuesday, April 14, 2020 at 9:47 PM

To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>

Subject: Wuhan lab research

Hi! Can we get info on this ASAP? Need for the morning. Sorry for the fire drill.

Begin forwarded message:

From: "Arbes, Sarah (HHS/ASL)" <(b) (6)>

Date: April 14, 2020 at 9:30:23 PM EDT

To: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Pence,
Laura (HHS/ASL)" <(b) (6)>
Cc: "Morse, Sara (HHS/ASL)" <(b) (6)>
Subject: For AMA in the morning

Adrienne and Laura –

Can you please help me run ground truth to this article?:

<https://protect2.fireeye.com/url?k=40f43e35-1ca13726-40f40f0a-0cc47adb5650-c048b52a2b043577&u=https://protect2.fireeye.com/url?k=d8055c7b-84514507-d8056d44-0cc47adc5fa2-762234a678e2d50f&u=https://www.soundhealthandlastingwealth.com/health-news/u-s-government-gave-3-7million-grant-to-wuhan-lab-that-experimented-on-coronavirus-source-bats/>

Congressman Gaetz is publicly criticizing HHS/NIH for funding the Wuhan laboratory's bat research. Here's this quote from another article: "I'm disgusted to learn that for years the US government has been funding dangerous and cruel animal experiments at the Wuhan Institute, which may have contributed to the global spread of coronavirus, and research at other labs in China that have virtually no oversight from US authorities."

- How long have we been giving research dollars to this lab?
- How much have we given?
- For what purpose?

(b) (5)

- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say?

(b) (5)

- Anything else we should know?

(b) (5)

Thanks much!
Sarah

The proximal origin of SARS-CoV-2

To the Editor — Since the first reports of novel pneumonia (COVID-19) in Wuhan, Hubei province, China¹, there has been considerable discussion on the origin of the causative virus, SARS-CoV-2 (also referred to as HCoV-19). Infections with SARS-CoV-2 are now widespread, and as of 11 March 2020, 121,564 cases have been confirmed in more than 110 countries, with 4,373 deaths.

SARS-CoV-2 is the seventh coronavirus known to infect humans. SARS-CoV, MERS-CoV and SARS-CoV-2 can cause severe disease, whereas HKU1, NL63, OC43 and 229E are associated with mild symptoms. Here we review what can be deduced about the origin of SARS-CoV-2 from comparative analysis of genomic data. We offer a perspective on the notable features of the SARS-CoV-2 genome and discuss scenarios by which they could have arisen. Our analyses clearly show that SARS-CoV-2 is not a laboratory construct or a purposefully manipulated virus.

Notable features of the SARS-CoV-2 genome

Our comparison of alpha- and betacoronaviruses identifies two notable genomic features of SARS-CoV-2: (i) on the basis of structural studies and biochemical experiments^{9,10}, SARS-CoV-2 appears to be optimized for binding to the human receptor ACE2; and (ii) the spike protein of SARS-CoV-2 has a functional polybasic (furin) cleavage site at the S1–S2 boundary through the insertion of 12 nucleotides which additionally led to the predicted acquisition of three O-linked glycans around the site.

1. Mutations in the receptor-binding domain of SARS-CoV-2. The receptor-binding domain (RBD) in the spike protein is the most variable part of the coronavirus genome². Six RBD amino acids have been shown to be critical for binding to ACE2 receptors and for determining the host range of SARS-CoV-like viruses. With coordinates based on SARS-CoV, they are Y442, L472, N479, D480, T487 and Y4911, which correspond to L455, F486, Q493, S494, N501 and Y505 in SARS-CoV-2. Five of these six residues differ between SARS-CoV-2 and SARS-CoV (Fig. 1a). On the basis of structural studies and biochemical experiments^{9,10}, SARS-CoV-2 seems to have an RBD that binds with high affinity to ACE2 from humans, ferrets, cats and other species with high receptor homology.

While the analyses above suggest that SARS-CoV-2 may bind human ACE2 with high affinity, computational analyses predict that the interaction is not ideal and that the RBD sequence is different from those shown in SARS-CoV to be optimal for receptor binding¹¹. Thus, the high-affinity binding of the SARS-CoV-2 spike protein to human ACE2 is most likely the result of natural selection on a human or human-like ACE2 that permits another optimal binding solution to arise. This is strong evidence that SARS-CoV-2 is not the product of purposeful manipulation.

2. Polybasic furin cleavage site and O-linked glycans. The second notable feature of SARS-CoV-2 is a polybasic cleavage site (RRAR) at the junction of S1 and S2, the two subunits of the spike (Fig. 1b). This allows effective cleavage by furin and other proteases and has a role in determining viral infectivity and host range². In addition, a leading proline is also inserted at this site in SARS-CoV-2; thus, the inserted sequence is PRRA (Fig. 1b). The turn created by the proline is predicted to result in the addition of O-linked glycans to S673, T678 and S686, which flank the cleavage site and are unique to SARS-CoV-2 (Fig. 1b). Polybasic cleavage sites have not been observed in related ‘lineage B’ betacoronaviruses, although other human betacoronaviruses, including HKU1 (lineage A), have those sites and predicted O-linked glycans³. Given the level of genetic variation in the spike, it is likely that SARS-CoV-2-like viruses with partial or full polybasic cleavage sites will be discovered in other species.

The functional consequence of the polybasic cleavage site in SARS-CoV-2 is unknown, and it will be important to determine its impact on transmissibility and pathogenesis in animal models. Experiments with SARS-CoV have shown that insertion of a furin cleavage site at the S1–S2 junction enhances cell–cell fusion without affecting viral entry. In addition, efficient cleavage of the MERS-CoV spike enables MERS-like coronaviruses from bats to infect human cells. In avian influenza viruses, rapid replication and transmission in highly dense chicken populations selects for the acquisition of polybasic cleavage sites in the hemagglutinin (HA) protein which serves a function similar to that of polybasic cleavage sites in HA, by insertion or recombination, converts

low-pathogenicity avian influenza viruses into highly pathogenic forms. The acquisition of polybasic cleavage sites by HA has also been observed after repeated passage in cell culture or through animals.

The function of the predicted O-linked glycans is unclear, but they could create a ‘mucin-like domain’ that shields epitopes or key residues on the SARS-CoV-2 spike protein¹⁸. Several viruses utilize mucin-like domains as glycan shields involved in immunoevasion¹⁹. Although prediction of O-linked glycosylation is robust, experimental studies are needed to determine if these sites are used in SARS-CoV-2.

Theories of SARS-CoV-2 origins

It is improbable that SARS-CoV-2 emerged through laboratory manipulation of a related SARS-CoV-like coronavirus. As noted above, the RBD of SARS-CoV-2 is optimized for binding to human ACE2 with an efficient solution different from those previously predicted¹. Furthermore, if genetic manipulation had been performed, one of the several reverse-genetic systems available for betacoronaviruses would probably have been used. However, the genetic data irrefutably show that SARS-CoV-2 is not derived from any previously used virus backbone. Instead, we propose two scenarios that can plausibly explain the origin of SARS-CoV-2: (i) natural selection in an animal host before zoonotic transfer; and (ii) natural selection in humans following zoonotic transfer. We also discuss whether selection during passage could have given rise to SARS-CoV-2.

1. Natural selection in an animal host before zoonotic transfer

As many early cases of COVID-19 were linked to the Huanan market in Wuhan^{1,2}, it is possible that an animal source was present at this location. Given the similarity of SARS-CoV-2 to bat SARS-CoV-like coronaviruses, it is likely that bats serve as reservoir hosts for its progenitor. Although RaTG13, sampled from a *Rhinolophus affinis* bat¹, is ~96% identical overall to SARS-CoV-2, its spike diverges in the RBD, which suggests that it may not bind efficiently to human ACE2 (Fig. 1a).

Malayan pangolins (*Manis javanica*) illegally imported into Guangdong province contain coronaviruses similar to SARS-CoV-2²¹. Although the RaTG13 bat virus remains the closest to SARS-CoV-2 across the

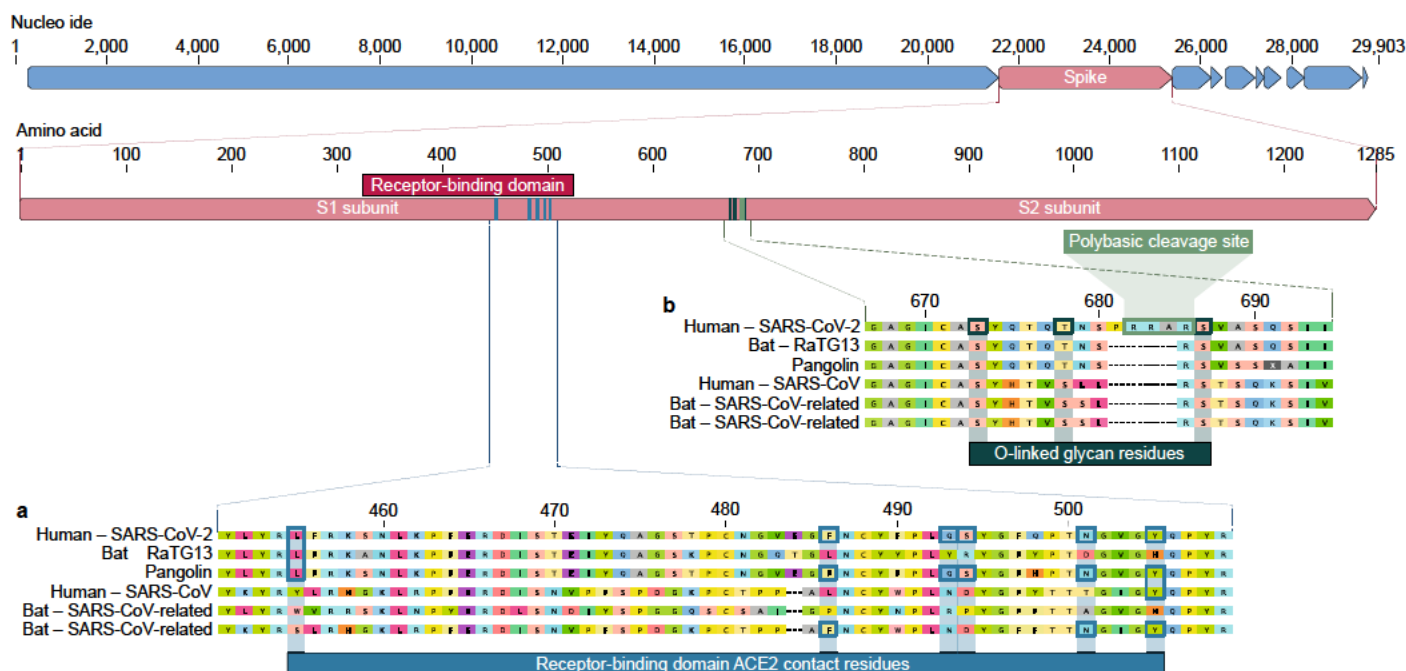


Fig. 1 | Features of the spike protein in human SARS-CoV-2 and related coronaviruses. a, Mutations in contact residues of the SARS-CoV-2 spike protein. spike protein of SARS-CoV-2 (red bar at top) was aligned against the most closely related SARS-CoV-like coronaviruses and SARS-CoV itself. Key residues in the spike protein that make contact to the ACE2 receptor are marked with blue boxes in both SARS-CoV-2 and related viruses, including SARS-CoV (Urbani strain). **b,** Acquisition of polybasic cleavage site and O-linked glycans. Both the polybasic cleavage site and the three adjacent predicted O-linked glycans are unique to SARS-CoV-2 and were not previously seen in lineage B betacoronaviruses. Sequences shown are from NCBI GenBank, accession codes MN908947, MN996532, AY278741, KY417146 and MK211376. The pangolin coronavirus sequences are a consensus generated from Srr10168377 and Srr10168378 (NCBI Bioproject prJNA573298)^{29,30}.

genome, some pangolin coronaviruses exhibit strong similarity to SARS-CoV-2 in the RBD, including all six key RBD residues (Fig. 1). This clearly shows that the SARS-CoV-2 spike protein optimized for binding to human-like ACE2 is the result of natural selection.

Neither the bat betacoronaviruses nor the pangolin betacoronaviruses sampled thus far have polybasic cleavage sites. Although no animal coronavirus has been identified that is sufficiently similar to have served as the direct progenitor of SARS-CoV-2, the diversity of coronaviruses in bats and other species is massively undersampled. Mutations, insertions and deletions can occur near the S1–S2 junction of coronaviruses which shows that the polybasic cleavage site can arise by a natural evolutionary process. For a precursor virus to acquire both the polybasic cleavage site and mutations in the spike protein suitable for binding to human ACE2, an animal host would probably have to have a high population density (to allow natural selection to proceed efficiently) and an ACE2-encoding gene that is similar to the human ortholog.

2. Natural selection in humans following zoonotic transfer

It is possible that a progenitor of SARS-CoV-2 jumped into

humans, acquiring the genomic features described above through adaptation during undetected human-to-human transmission. Once acquired, these adaptations would enable the pandemic to take off and produce a sufficiently large cluster of cases to trigger the surveillance system that detected it.

All SARS-CoV-2 genomes sequenced so far have the genomic features described above and are thus derived from a common ancestor that had them too. The presence in pangolins of an RBD very similar to that of SARS-CoV-2 means that we can infer this was also probably in the virus that jumped to humans. This leaves the insertion of polybasic cleavage site to occur during human-to-human transmission. Estimates of the timing of the most recent common ancestor of SARS-CoV-2 made with current sequence data point to emergence of the virus in late November 2019 to early December 2019, compatible with the earliest retrospectively confirmed cases²⁴. Hence, this scenario presumes a period of unrecognized transmission in humans between the initial zoonotic event and the acquisition of the polybasic cleavage site. Sufficient opportunity could have arisen if there had been many prior zoonotic events that produced short chains of human-to-

human transmission over an extended period. This is essentially the situation for MERS-CoV, for which all human cases are the result of repeated jumps of the virus from dromedary camels, producing single infections or short transmission chains that eventually resolve, with no adaptation to sustained transmission²⁵.

Studies of banked human samples could provide information on whether such cryptic spread has occurred. Retrospective serological studies could also be informative, and a few such studies have been conducted showing low-level exposures to SARS-CoV-like coronaviruses in certain areas of China²⁶. Critically, however, these studies could not have distinguished whether exposures were due to prior infections with SARS-CoV, SARS-CoV-2 or other SARS-CoV-like coronaviruses. Further serological studies should be conducted to determine the extent of prior human exposure to SARS-CoV-2.

3. Selection during passage. Basic research involving passage of bat SARS-CoV-like coronaviruses in cell culture and/or animal models has been ongoing for many years in biosafety level 2 laboratories across the world²⁷, and there are documented instances

of laboratory escapes of SARS-CoV-2. We must therefore examine the possibility of an inadvertent laboratory release of SARS-CoV-2.

In theory, it is possible that SARS-CoV-2 acquired RBD mutations (Fig. 1a) during adaptation to passage in cell culture, as has been observed in studies of SARS-CoV. The finding of SARS-CoV-like coronaviruses from pangolins with nearly identical RBDs, however, provides a much stronger and more parsimonious explanation of how SARS-CoV-2 acquired these via recombination or mutation.

The acquisition of both the polybasic cleavage site and predicted O-linked glycans also argues against culture-based scenarios. New polybasic cleavage sites have been observed only after prolonged passage of low-pathogenicity avian influenza virus in vitro or in vivo⁷. Furthermore, a hypothetical generation of SARS-CoV-2 by cell culture or animal passage would have required prior isolation of a progenitor virus with very high genetic similarity, which has not been described. Subsequent generation of a polybasic cleavage site would have then required repeated passage in cell culture or animals with ACE2 receptors similar to those of humans, but such work has also not previously been described. Finally, the generation of the predicted O-linked glycans is also unlikely to have occurred due to cell-culture passage, as such features suggest the involvement of an immune system¹¹.

Conclusions

In the midst of the global COVID-19 public-health emergency, it is reasonable to wonder why the origins of the pandemic matter. Detailed understanding of how an animal virus jumped species boundaries to infect humans so productively will help in the prevention of future zoonotic events. For example, if SARS-CoV-2 pre-adapted in another animal species, then there is the risk of future re-emergence events. In contrast, if the adaptive process occurred in humans, then even if repeated zoonotic transfers occur, they are unlikely to take off without the same series of mutations. In addition, identifying the closest viral relatives of SARS-CoV-2 circulating in animals will greatly assist studies of viral function. Indeed, the availability of the RaTG13 bat

sequence helped reveal key RBD mutations and the polybasic cleavage site.

The genomic features described here may explain in part the infectiousness and transmissibility of SARS-CoV-2 in humans. Although the evidence shows that SARS-CoV-2 is not a purposefully manipulated virus, it is currently impossible to prove or disprove the other theories of its origin described here. However, since we observed all notable SARS-CoV-2 features, including the optimized RBD and polybasic cleavage site, in related coronaviruses in nature, we do not believe that any type of laboratory-based scenario is plausible.

More scientific data could swing the balance of evidence to favor one hypothesis over another. Obtaining related viral sequences from animal sources would be the most definitive way of revealing viral origins. For example, a future observation of an intermediate or fully formed polybasic cleavage site in a SARS-CoV-2-like virus from animals would lend even further support to the natural-selection hypotheses. It would also be helpful to obtain more genetic and functional data about SARS-CoV-2, including animal studies. The identification of a potential intermediate host of SARS-CoV-2, as well as sequencing of the virus from very early cases, would similarly be highly informative. Irrespective of the exact mechanisms by which SARS-CoV-2 originated via natural selection, the ongoing surveillance of pneumonia in humans and other animals is clearly of utmost importance.

Kristian G. Andersen[✉],
Andrew Rambaut^{1,2}, W. Ian Lipkin,
Edward C. Holmes³ and Robert F. Garfield⁴

¹Department of Immunology and Microbiology, The Scripps Research Institute, La Jolla, CA, USA

²Scripps Research Translational Institute, La Jolla, CA, USA

³Institute of Evolutionary Biology, University of Edinburgh, Edinburgh, UK

⁴Center for Infection and Immunity, Mailman School of Public Health of Columbia University, New York, NY, USA

⁵Marie Bashir Institute for Infectious Diseases and Biosecurity, School of Life and Environmental Sciences and School of Medical Sciences, The University of Sydney, Sydney, Australia
⁶University, School of Medicine, Department of Microbiology and Immunology, New Orleans, LA, USA
⁷Zalgen Labs, Germantown, MD, USA

✉e-mail: (b) (6)

Published online: 17 March 2020

<https://doi.org/10.1038/s41591-020-0820-9>

References

1. Zhou, P. et al. *Nature* <https://doi.org/10.1038/s41586-020-2012-7> (2020).
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Acknowledgements

We thank all those who have contributed sequences to the GISAID database (<https://www.gisaid.org/>) and analyses to Virological.org (<http://virological.org/>). We thank M. Farzan for discussions, and the Wellcome Trust for support. K.G.A. is a Pew Biomedical Scholar and is supported by NIH grant U19AI135995. A.R. is supported by the Wellcome Trust (Collaborators Award 206298/Z/17/Z—ARTIC network) and the European Research Council (grant agreement no. 725422—ReservoirDOCS). E.C.H. is supported by an ARC Australian Laureate Fellowship (FL170100022). R.F.G. is supported by NIH grants U19AI135995, U54 HG007480 and U19AI142790.

Competing interests

R.F.G. is co-founder of Zalgen Labs, a biotechnology company that develops countermeasures to emerging viruses.

From: "Pence, Laura (HHS/ASL)" <(b) (6)>
To: "Arbes, Sarah (HHS/ASL)" <(b) (6)> "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Cc: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)>
"Lauer, Michael (NIH/NHLBI) [E]" <(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>
Subject: RE: Wuhan lab research
Sent: Wed 4/15/2020 8:19:03 AM (UTC-05:00)

Yes, thank you!!!

From: Arbes, Sarah (HHS/ASL) <(b) (6)>
Sent: Wednesday, April 15, 2020 9:03 AM
To: Pence, Laura (HHS/ASL) <(b) (6)> Wolinetz, Carrie (NIH/OD) [E] <(b) (6)>
Cc: Tabak, Lawrence (NIH/OD) [E] <(b) (6)> Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/NHLBI) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)>
Subject: RE: Wuhan lab research

Thank you all, so very much!!

From: Pence, Laura (HHS/ASL) <(b) (6)>
Sent: Wednesday, April 15, 2020 7:18 AM
To: Wolinetz, Carrie (NIH/OD) [E] <(b) (6)>
Cc: Tabak, Lawrence (NIH/OD) [E] <(b) (6)> Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/NHLBI) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

This is great, thanks!

On Apr 15, 2020, at 7:05 AM, Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> wrote:

And this news release has a pretty good lay level summary of it, if it's useful: :
<https://www.sciencedaily.com/releases/2020/03/200317175442.htm> Cheers, Carrie

From: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>
Sent: Wednesday, April 15, 2020 6:56 AM
To: Wolinetz, Carrie (NIH/OD) [E] <(b) (6)> Pence, Laura (HHS/ASL) <(b) (6)>
Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>
Subject: Re: Wuhan lab research

Attached is the paper Carrie is referring to.
Larry

From: "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Date: Wednesday, April 15, 2020 at 6:50 AM
To: "Pence, Laura (HHS/ASL)" <(b) (6)> "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Arbes, Sarah (HHS/ASL)" <(b) (6)>
Subject: RE: Wuhan lab research

Laura,

(b) (5)

Cheers, Carrie

From: Pence, Laura (HHS/ASL) <(b) (6)>

Sent: Tuesday, April 14, 2020 11:32 PM

To: Tabak, Lawrence (NIH/OD) [E] <(b) (6)>

Cc: Hallett, Adrienne (NIH/OD) [E] <(b) (6)>

Lauer, Michael (NIH/OD) [E]

<(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)>

Wolinetz, Carrie (NIH/OD) [E]

<(b) (6)> Arbes, Sarah (HHS/ASL) <(b) (6)>

Subject: Re: Wuhan lab research

Gotcha, thanks! If you have that info tomorrow morning that would be great. (b) (5)

Can't thank you enough for all the info you've already gotten to us on this. It will be very helpful.

On Apr 14, 2020, at 10:53 PM, Tabak, Lawrence (NIH/OD) [E] <(b) (6)> wrote:

Mike Lauer will need to answer this- it is a sub project to the NY grant but I don't know if funding is direct or via NY.

Larry

Sent from my iPhone

On Apr 14, 2020, at 10:51 PM, Pence, Laura (HHS/ASL) <(b) (6)> wrote:

Really helpful, thanks! So the PI in NY is the grantee and the institute in Wuhan is subgrantee? Or Wuhan receives funding directly from NIH?

On Apr 14, 2020, at 10:43 PM, Tabak, Lawrence (NIH/OD) [E]

<(b) (6)> wrote:

Laura,

Still working on some confirmation of details, but this work is part of a large multi- country study **with Wuhan being one site**. The principal investigator, Peter Daszak, is based in NY at Ecohealth Alliance, Inc

Project 2R01AI110964-06

Contact PI / DASZAK, PETER

Number:

Project Leader:

Title: UNDERSTANDING THE RISK OF BAT
CORONAVIRUS EMERGENCE

Awardee ECOHEALTH ALLIANCE, INC.
Organization:

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

How long have we been giving research dollars to this lab? (b) (5)

- How much have we given? (b) (5)

- For what purpose? (b) (5)

- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say

- (b) (5)

Anything else we should know? (b) (5)

Please let us know if you need anything else.

Larry

From: "Pence, Laura (HHS/ASL)" <(b) (6)>

Date: Tuesday, April 14, 2020 at 9:47 PM

To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>

"Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>

Tara (NIH/OD) [E]" <(b) (6)>

"Schwetz,

Subject: Wuhan lab research

Hi! Can we get info on this ASAP? Need for the morning. Sorry for the fire drill.

Begin forwarded message:

From: "Arbes, Sarah (HHS/ASL)" <(b) (6)>

Date: April 14, 2020 at 9:30:23 PM EDT

To: "Hallett, Adrienne (NIH/OD) [E]"

<(b) (6)>

<(b) (6)>

"Pence, Laura (HHS/ASL)"

Cc: "Morse, Sara (HHS/ASL)" <(b) (6)>

Subject: For AMA in the morning

Adrienne and Laura –

Can you please help me run ground truth to this article?:

<https://protect2.fireeye.com/url?k=79bfb5e8-25eb9cc3-79bf84d7-0cc47a6d17cc->

[7fe08f9f909251fb&u=https://protect2.fireeye.com/url?k=40f43e35-1ca13726-40f40f0a-0cc47adb5650-c048b52a2b043577&u=https://protect2.fireeye.com/url?k=d8055c7b-84514507-d8056d44-0cc47adc5fa2-762234a678e2d50f&u=https://www.soundhealthandlastingwealth.com/health-news/u-s-government-gave-3-7million-grant-to-wuhan-lab-that-experimented-on-coronavirus-source-bats/](https://protect2.fireeye.com/url?k=40f43e35-1ca13726-40f40f0a-0cc47adb5650-c048b52a2b043577&u=https://protect2.fireeye.com/url?k=d8055c7b-84514507-d8056d44-0cc47adc5fa2-762234a678e2d50f&u=https://www.soundhealthandlastingwealth.com/health-news/u-s-government-gave-3-7million-grant-to-wuhan-lab-that-experimented-on-coronavirus-source-bats/)

Congressman Gaetz is publicly criticizing HHS/NIH for funding the Wuhan laboratory's bat research. Here's this quote from another article: "I'm disgusted to learn that for years the US government has been funding dangerous and cruel animal experiments at the Wuhan Institute, which may have contributed to the global spread of coronavirus, and research at other labs in China that have virtually no oversight from US authorities."

- How long have we been giving research dollars to this lab?
- How much have we given?
- For what purpose?

(b) (5)



- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say?

(b) (5)



- Anything else we should know?

(b) (5)



Thanks much!
Sarah

From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
To: "Linde, Emily (NIH/NIAID) [E]" <(b) (6)>
Cc: "Fenton, Matthew (NIH/NIAID) [E]" <(b) (6)> "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>
"Black, Jodi (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: PLEASE READ -- Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Sent: Mon 4/27/2020 6:14:47 PM (UTC-05:00)

Thank you Emily – greatly appreciate your help.

Best, Mike

From: "Linde, Emily (NIH/NIAID) [E]" <(b) (6)>
Date: Monday, April 27, 2020 at 6:52 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Fenton, Matthew (NIH/NIAID) [E]" <(b) (6)> "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>
Subject: RE: PLEASE READ -- Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dr. Lauer,

This grant has been terminated in accordance with the letter to the grantee on 04/24/2020. The NoA will generate tonight.

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Friday, April 24, 2020 4:48 PM
To: Aleksei Chmura <(b) (6)> Peter Daszak <(b) (6)>
Cc: Black, Jodi (NIH/OD) [E] <(b) (6)> Stemmy, Erik (NIH/NIAID) [E] <(b) (6)> Erbelding, Emily (NIH/NIAID) [E] <(b) (6)> Linde, Emily (NIH/NIAID) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)> Bulls, Michelle G. (NIH/OD) [E] <(b) (6)>
Subject: PLEASE READ -- Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Dear Dr. Chmura and Dr. Daszak

Please see attached.

Sincerely,
Michael S Lauer, MD

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Aleksei Chmura <(b) (6)>
Date: Thursday, April 23, 2020 at 1:50 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: Peter Daszak <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I read that we are in agreement and in compliance with all requests. Please let us know if anything further is required. We will continue in our usual close communication with our Program Officer Erik Stemmy.

Sincerely,

-Aleksei

Aleksei Chmura
Chief of Staff &
Authorized Organizational Representative

EcoHealth Alliance
460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (office)
(b) (6) (mobile)
www.ecohealthalliance.org

EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation.

On Apr 21, 2020, at 19:28, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Peter for your response.

We note that:

- No monies have gone to WIV on the Type 2 award and no contract has been signed.
- You agree that you will not provide any funds to WIV until and unless directed otherwise by NIH.
- All foreign sites for the Type 1 and Type 2 awards have been documented in the progress reports submitted to NIH.

We appreciate your working with us.

Best, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Peter Daszak <(b) (6)>
Date: Tuesday, April 21, 2020 at 7:07 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)>
"Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records
2. My Program Officer for this award, Dr Erik Stemmy & the Division Director (DMID), Dr Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds from 2R01AI110964-06 have been sent to Wuhan Institute of

Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course. Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

Peter Daszak
President

EcoHealth Alliance
460 West 34th Street
New York, NY 10001
USA

Tel.: (b) (6)
Website: www.ecohealthalliance.org
Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>
Sent: Monday, April 20, 2020 4:31 PM
To: Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>
Cc: Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06
Importance: High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

From: Kevin Olival <(b) (6)>
Date: Monday, April 20, 2020 at 4:14 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>
Subject: Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak <(b) (6)> who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,
Kevin

Kevin J. Olival, PhD
Vice President for Research

EcoHealth Alliance
460 West 34th Street, Suite 1701
New York, NY 10001

(b) (6) (direct)
(b) (6) (mobile)
1.212.380.4465 (fax)
www.ecohealthalliance.org

EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

From: Naomi Schrag <(b) (6)>
Date: Sunday, April 19, 2020 at 11:59 AM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)" <(b) (6)>
Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)> Naomi Schrag <(b) (6)>
Subject: RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,

I am acknowledging receipt of this letter and will get back to you as soon as I can.

Sincerely,

Naomi Schrag

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>

Sent: Sunday, April 19, 2020 11:00 AM

To: (b) (6) Naomi Schrag <(b) (6)>

Cc: Black, Jodi (NIH/OD) [E] <(b) (6)>

Subject: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Importance: High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: (b) (6)
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

<EcoHealth Alliance re AI grant 4 19 20[2].pdf><NoA R01AI110964-06.pdf><NoA R01AI110964-01.pdf>

Dear Dr. Lauer,

I am acknowledging receipt of this letter and will get back to you as soon as I can.

Sincerely,

Naomi Schrag

From: Lauer, Michael (NIH/OD) [E] <(b) (6)>

Sent: Sunday, April 19, 2020 11:00 AM

To: (b) (6) Naomi Schrag <(b) (6)>

Cc: Black, Jodi (NIH/OD) [E] <(b) (6)>

Subject: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Importance: High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD
NIH Deputy Director for Extramural Research
1 Center Drive, Building 1, Room 144
Bethesda, MD 20892
Phone: 301-496-1096
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

<EcoHealth Alliance re AI grant 4 19 20[2].pdf><NoA R01AI110964-06.pdf><NoA R01AI110964-01.pdf>

To: Tabak, Lawrence (NIH/OD) [E] (b) (6)
Cc: Schwetz, Tara (NIH/OD) [E] (b) (6); Wolinetz, Carrie (NIH/OD) [E] (b) (6); Lauer, Michael (NIH/OD) [E] (b) (6)
From: Lauer, Michael (NIH/OD) [E] (b) (6)
Sent: Wed 4/15/2020 6:03:46 AM (UTC-05:00)
Subject: Re: Wuhan lab research
[FACTS Snapshot for 2-R01-AI110964-06 DASZAK, PETER QVR.pdf](#)
[NoA R01AI110964-06.pdf](#)
[NoA R01AI110964-01.pdf](#)

Good morning – see Section IV of the NoAs:

- Type 1: Wuhan gets 134K to 159K per year.
- Type 2: Wuhan gets \$76,301.

Thanks, Mike

From: "Tabak, Lawrence (NIH/OD) [E]" (b) (6)
Date: Tuesday, April 14, 2020 at 10:05 PM
To: "Lauer, Michael (NIH/OD) [E]" (b) (6)
Cc: "Schwetz, Tara (NIH/OD) [E]" (b) (6); "Wolinetz, Carrie (NIH/OD) [E]" (b) (6)
Subject: Re: Wuhan lab research

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49593891&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

can we get subproject info – costs to Wuhan?

From: "Tabak, Lawrence (NIH/OD) [E]" (b) (6)
Date: Tuesday, April 14, 2020 at 10:00 PM
To: "Lauer, Michael (NIH/OD) [E]" (b) (6)
Cc: "Schwetz, Tara (NIH/OD) [E]" (b) (6); "Wolinetz, Carrie (NIH/OD) [E]" (b) (6)
Subject: Re: Wuhan lab research

Is this what they are referring to: <https://worldreport.nih.gov/app/#/>

From: "Tabak, Lawrence (NIH/OD) [E]" (b) (6)
Date: Tuesday, April 14, 2020 at 9:50 PM
To: "Lauer, Michael (NIH/OD) [E]" (b) (6)
Cc: "Schwetz, Tara (NIH/OD) [E]" (b) (6); "Wolinetz, Carrie (NIH/OD) [E]" (b) (6)
Subject: FW: Wuhan lab research

Can I get this information asap please?

From: "Pence, Laura (HHS/ASL)" (b) (6)
Date: Tuesday, April 14, 2020 at 9:47 PM
To: "Tabak, Lawrence (NIH/OD) [E]" (b) (6); "Wolinetz, Carrie (NIH/OD) [E]" (b) (6)
(b) (6); "Schwetz, Tara (NIH/OD) [E]" (b) (6)
Subject: Wuhan lab research

Hi! Can we get info on this ASAP? Need for the morning. Sorry for the fire drill.

Begin forwarded message:

From: "Arbes, Sarah (HHS/ASL)" (b) (6)

Date: April 14, 2020 at 9:30:23 PM EDT

To: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)>

"Pence, Laura (HHS/ASL)" <(b) (6)>

Cc: "Morse, Sara (HHS/ASL)" <(b) (6)>

Subject: For AMA in the morning

Adrienne and Laura –

Can you please help me run ground truth to this article?: <https://www.soundhealthandlastingwealth.com/health-news/u-s-government-gave-3-7million-grant-to-wuhan-lab-that-experimented-on-coronavirus-source-bats/>

Congressman Gaetz is publicly criticizing HHS/NIH for funding the Wuhan laboratory's bat research. Here's this quote from another article: "I'm disgusted to learn that for years the US government has been funding dangerous and cruel animal experiments at the Wuhan Institute, which may have contributed to the global spread of coronavirus, and research at other labs in China that have virtually no oversight from US authorities."

- How long have we been giving research dollars to this lab?
- How much have we given?
- For what purpose?
- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say?
- Anything else we should know?

Thanks much!

Sarah

QVR FACTS

FACTS Data Snapshot for: 2-R01-AI110964-06 (DASZAK, PETER)
Understanding the Risk of Bat Coronavirus Emergence

PRINTCLOSE

Appl Id: 9819304

Launch the FACTS System [FACTS](#)

Hop to Country [Project Information](#) [CHINA](#) [SINGAPORE](#)

Project Info	
Project Number	2-R01-AI110964-06 (as reflected under competing project number 2-R01-AI110964-06 in FACTS)
PI Name	DASZAK, PETER
Org Name	ECOHEALTH ALLIANCE, INC.
Project Title	Understanding the Risk of Bat Coronavirus Emergence
FY/Project Dates	2019 (Project Period from 2014-06-01 to 2024-06-30)
Project Status	Awarded (05)
Foreign Appl Flag	Domestic Application with Foreign Collaboration (Z)

CHINA			
State Department Clearance Request (SDCR ID 219890)		NIAID Contact	SDCR ACTIONS
Click the - to hide the Research Objective listed on State Department Clearance.		Bernabe, Gayle Phone: (b) (6)	Approved Approve Submit to State Department Send to Agency IC Update IC Save
ACTION DATES			2019-05-30 2019-05-30 2019-05-29 2019-05-28 2019-05-24 2019-05-10
<p>This work is an extension and renewal of a previous award, approved under clearances 202191 and 211200. The aims of this research project are to examine the mechanism through which coronaviruses (CoVs) jump from animal hosts/reservoirs to humans (spillover events). To accomplish this work the PI and his team will conduct detailed surveillance for coronaviruses in four provinces: Yunnan, Guizhou, Guangxi, and Guangdong. The exact sites have not yet been identified; as in the previous award, sites will be selected from the four provinces as work progresses. Surveillance will include sampling of wild bat populations. Samples will be collected from animals from each of these sites, and will be analyzed to determine what coronaviruses are present, and whether the viruses are able to infect humans. The investigators plan to collect samples from bats, approximately 5,000 samples total from 15-20 species across all four provinces. Animals will be captured and lightly anesthetized if necessary. They will be swabbed (mouth/nose, urogenital tract, and rectum), and a small amount of blood will be collected. If available, feces and urine will also be collected. Nearly all wild bats will be released unharmed after sampling. A small number of bats (maximum of 2 per species) may be euthanized in order to collect lung and intestinal tissue required for characterizing viral receptors. In order to understand whether select strains of bat-borne CoVs utilize receptors found in bats have the potential to infect people, the investigators will use mice that have been genetically modified to express the human receptor for SARS-CoV. The investigators anticipate identifying 5-6 SARS-related-CoVs that will be tested in mice, using approximately 15-20 mice per virus strain. A maximum of 120 mice will be used for this work over the project. All work involving samples and viral isolates from bats will be performed at the Wuhan Institute of Virology. All animal work will be performed by trained individuals in accordance with the American Veterinary Medical Association guidelines, and the project is overseen by veterinarians. This work has also been reviewed and approved by the investigator's Institutional Animal Care and Use Committee. This project will also study human exposure to animal coronaviruses across the same four provinces in southern China. Samples will be collected from each of these sites from individuals who 1) who are highly exposed to bats in community settings, including through hunting, butchering, or general handling within the context of their living or working environment (18+ years old); and 2) patients admitted to hospitals and clinics presenting with disease symptoms of clinically-defined severe/acute respiratory illness (SARI/ARI) or Influenza-like illness (ILI) of unknown origin (12+ years old). Subjects will be enrolled on a voluntary basis and informed consent will be obtained from all participants. Consenting participants will provide biological samples and complete a questionnaire at the time of acute illness and 35 days after resolution of illness. There will be no follow-up among community participants after initial sample collection. The study population will be selected from the Yunnan, Guangxi, Guangdong, and Guizhou provinces of China. They plan to enroll: 1) in 12 clinic sites across the four provinces, 2,750 individuals (accounting for an estimated 40% loss from follow-up); and 2) in 8 community sites, 1,650 individuals per each of the four provinces, pooled across two sites for each province for a total of 6,660 participants. Enrollment is anticipated to be 100% Asian, with a 50/50 split between males and females. All human subject work will be managed by the team at the Institute for Pathogen Biology.</p>			
Collaborator/Site (Site ID: 262256)		Site Flags	Budget Period
ZHU, GUANGJIAN EAST CHINA NORMAL UNIVERSITY School of Life Science, B327 Science building, 3663 Zhongshan Beilu Shanghai 200062		Animals: Y FWA: Humans: N	Budget Amt
Collaborator/Site (Site ID: 262253)		Site Flags	Budget Period
GUO, LI INSTITUTE OF PATHOGEN BIOLOGY Dong Dan San Tiao, No. 9 Dongcheng District Beijing 100730		Animals: N FWA: Y Humans: Y	Budget Amt
Collaborator/Site (Site ID: 262252)		Site Flags	Budget Period
REN, L LI INSTITUTE OF PATHOGEN BIOLOGY Dong Dan San Tiao, No. 9 Dongcheng District Beijing 100730		Animals: N FWA: Y Humans: Y	Budget Amt
			Verified By
			Verified Date

Collaborator/Site (Site ID: 262251) HU, BEN WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 261948) SHI, ZHENG LI WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 262250) ZHOU, PENG WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date

SINGAPORE

State Department Clearance Request (SDCR ID 219753)

NIAID Contact

SDCR ACTIONS

ACTION DATES

Click the + to show the Research Objective listed on State Department Clearance

[Bernabe, Gayle](#)
Phone: 301-451-1018**Approved**
Auto Approval
Send to Agency
Submit to State Department
IC Save**2019-05-20**
2019-05-20
2019-05-06
2019-05-06
2019-05-01

Collaborator/Site (Site ID: 262258) WANG, LINFA DUKE-NUS MEDICAL SCHOOL 8 College Road Singapore 169857	Site Flags Animals: N FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
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NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 2R01AI110964-06 REVISED

FAIN: R01AI110964

Principal Investigator(s):

PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus Emergence

Dr. Daszak, Peter
PD/PI
460 West 34th Street
Suite 1701
New York, NY 100012320

Award e-mailed to: (b) (6)

Period Of Performance:

Budget Period: 07/24/2019 – 06/30/2020

Project Period: 06/01/2014 – 06/30/2024

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect a decrease in the amount of \$71,770 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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 your ,

Tseday G Girma
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 2R01AI110964-06 REVISED**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$170,123
Fringe Benefits	\$53,590
Personnel Costs (Subtotal)	\$223,713
Consultant Services	\$49,750
Materials & Supplies	\$20,850
Travel	\$15,027
Subawards/Consortium/Contractual Costs	\$229,651

Federal Direct Costs	\$538,991
Federal F&A Costs	\$122,989
Approved Budget	\$661,980
Total Amount of Federal Funds Obligated (Federal Share)	\$661,980
TOTAL FEDERAL AWARD AMOUNT	\$661,980

AMOUNT OF THIS ACTION (FEDERAL SHARE) (\$-71,770)

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
6	\$661,980	\$661,980
7	\$637,980	\$637,980
8	\$637,980	\$637,980
9	\$637,980	\$637,980
10	\$637,980	\$637,980

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

Fiscal Information:

CFDA Name: Allergy and Infectious Diseases Research
CFDA Number: 93.855
EIN: 1311726494A1
Document Number: RAI110964B
PMS Account Type: P (Subaccount)
Fiscal Year: 2019

IC	CAN	2019	2020	2021	2022	2023
AI	8472364	\$661,980	\$637,980	\$637,980	\$637,980	\$637,980

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

NIH Administrative Data:

PCC: M51C B / **OC:** 414B / **Released:** (b) (6) 08/02/2019
Award Processed: 08/05/2019 12:01:51 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 2R01AI110964-06 REVISED

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

SECTION III – TERMS AND CONDITIONS – 2R01AI110964-06 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:

- 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.

- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

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

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

This 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) R01AI110964. 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 include 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://publicacces.nih.gov/>

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipient organizations that have currently active Federal grant, cooperative agreement, 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 II to 45 CFR Part 75. This term does not apply to NIH fellowships.

SECTION IV – AI Special Terms and Conditions – 2R01AI110964-06 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 adjust the budget in accordance with the letter from Aleksei Chmura/ECOHealth Alliance.

Supersedes previous Notice of Award dated **07/24/2019**.

This Notice of Award (NoA) includes funds for activity with **The University of North Carolina at Chapel Hill** in the amount of **\$77,750 (\$50,000 direct costs + \$27,750 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Wuhan Institute of Virology** in the amount of **\$76,301 (\$70,649 direct costs + \$5,652 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Institute of Pathogen Biology** in the amount of **\$75,600 (\$70,000 direct costs + \$5,600 F&A costs)**.

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:

Wuhan Institute of Virology, CHINA

Institute of Pathogen Biology, CHINA

East China Normal University, CHINA

Duke-NUS Medical School, SINGAPORE

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

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.

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

Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated in the page(s) **203** 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.

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.

Awardees who conduct research involving Select Agents (see 42 CFR 73 for the Select Agent list; and 7 CFR 331 and 9 CFR 121 for the relevant animal and plant pathogens at <http://www.selectagents.gov/Regulations.html>) must complete registration with CDC (or APHIS, depending on the agent) before using NIH funds. No funds can be used for research involving Select Agents if the final registration certificate is denied.

Prior to conducting a restricted experiment with a Select Agent or Toxin, awardees must notify the NIAID and must request and receive approval from CDC or APHIS.

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 Report 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 point

Any change in the use of the Agent() or Toxin() including 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() 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.

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: Tseday G Girma

Email: (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: (b) (6) **Phone:** (b) (6)

SPREADSHEET SUMMARY

GRANT NUMBER: 2R01AI110964-06 REVISED

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 6	Year 7	Year 8	Year 9	Year 10
Salaries and Wages	\$170,123	\$170,123	\$170,123	\$170,123	\$170,123
Fringe Benefits	\$53,590	\$53,590	\$53,590	\$53,590	\$53,590
Personnel Costs (Subtotal)	\$223,713	\$223,713	\$223,713	\$223,713	\$223,713
Consultant Services	\$49,750	\$49,750	\$49,750	\$49,750	\$49,750
Materials & Supplies	\$20,850	\$14,850	\$14,850	\$14,850	\$14,850
Travel	\$15,027	\$15,027	\$15,027	\$15,027	\$15,027
Subawards/Consortium/Contractual Co t	\$229,651	\$229,651	\$229,651	\$229,651	\$229,651
Publication Co t		\$6,000	\$6,000	\$6,000	\$6,000
TOTAL FEDERAL DC	\$538,991	\$538,991	\$538,991	\$538,991	\$538,991
TOTAL FEDERAL F&A	\$122,989	\$98,989	\$98,989	\$98,989	\$98,989
TOTAL COST	\$661,980	\$637,980	\$637,980	\$637,980	\$637,980

Facilitie and Admini trative Co t	Year 6	Year 7	Year 8	Year 9	Year 10
F&A Co t Rate 1	32%	32%	32%	32%	32%
F&A Co t Ba e 1	\$384,340	\$309,340	\$309,340	\$309,340	\$309,340
F&A Co t 1	\$122,989	\$98,989	\$98,989	\$98,989	\$98,989



Grant Number: 1R01AI110964-01
FAIN: R01AI110964

Principal Investigator(s):
PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus Emergence

Aleksei
President
460 West 34th Street
17th Floor
New York, NY 100012317

Award e-mailed to: (b) (6)

Budget Period: 06/01/2014 – 05/31/2015
Project Period: 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$666,442 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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,

Laura A. Pone
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 1R01AI110964-01**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$167,708
Fringe Benefits	\$54,168
Supplies	\$21,400
Travel Costs	\$35,918
Other Costs	\$10,000
Consortium/Contractual Cost	\$227,663

Federal Direct Costs	\$516,857
Federal F&A Costs	\$149,585
Approved Budget	\$666,442
Federal Share	\$666,442
TOTAL FEDERAL AWARD AMOUNT	\$666,442

AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$666,442
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SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$666,442	\$666,442
2	\$630,445	\$630,445
3	\$611,090	\$611,090
4	\$597,112	\$597,112
5	\$581,646	\$581,646

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

Fiscal Information:

CFDA Number:	93.855
EIN:	1311726494A1
Document Number:	RAI110964A

PMS Account Type:	P (Subaccount)
Fiscal Year:	2014

IC	CAN	2014	2015	2016	2017	2018
AI	8472350	\$666,442	\$630,445	\$611,090	\$597,112	\$581,646

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

NIH Administrative Data:

PCC: M51C / OC: 414A / Released: (b) (6) 05/20/2014

Award Processed: 05/08/2014 01:52:21 PM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01AI110964-01

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

SECTION III – TERMS AND CONDITIONS – 1R01AI110964-01

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

- a. The grant program legislation and program regulation cited in this Notice of Award.

- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. 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.)

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 Central Contractor Registration. 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) R01AI110964. 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://publicacces.nih.gov/>

Treatment of Program Income:
Additional Cost

SECTION IV – AI Special Terms and Conditions – 1R01AI110964-01

THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF AWARD.

RESTRICTION: This award is issued with the knowledge that subjects may be involved within the period of support, but definite plans were not set forth in the application as per 45 CFR 46.118. No human subjects may be involved in any project supported by this award until all requirements for Human Subjects research as identified in the PHS398/SF424 Instructions have been provided to and approved by NIH.

RESTRICTION: The present award is being made without a currently valid certification of IRB approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the NIAID's acceptance of the certification of IRB review and approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects prior to the NIAID's notification to the grantee that the identified issues have been resolved and this restriction removed.

~~~~~  
This award includes funds for subcontract/consortium activity with Wuhan Institute of Virology, CHINA and is budgeted as follows:

|                      | -Yr 1     | -Yr 2     | -Yr 3     | -Yr 4     | -Yr 5     |
|----------------------|-----------|-----------|-----------|-----------|-----------|
| Total Direct Costs   | \$123,699 | \$128,718 | \$147,335 | \$147,335 | \$147,335 |
| F&A Costs @ 8%(MTDC) | \$9,896   | \$10,297  | \$11,787  | \$11,787  | \$11,787  |
| TOTAL COSTS          | \$133,595 | \$139,015 | \$159,122 | \$159,122 | \$159,122 |

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~  
This award includes funds for subcontract/consortium activity with East China Normal University, CHINA and is budgeted as follows:

	-Yr 1	-Yr 2	-Yr 3	-Yr 4	-Yr 5
Total Direct Costs	\$87,100	\$67,300	\$50,108	\$39,167	\$14,850
F&A Costs @ 8%(MTDC)	\$6,968	\$5,384	\$4,009	\$3,133	\$2,404
TOTAL COSTS	\$94,068	\$72,684	\$54,117	\$42,300	\$32,454

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~ 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 a change in an ongoing experiment that would require change in the bio safety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individual who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.electagent.gov/Regulation.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/oh/biofty/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 Bio safety 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 Agent and/or Highly Pathogenic Agent, 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.

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: Laura A. Pone

Email: (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: (b) (6) **Phone:** (b) (6)

SPREADSHEET SUMMARY

GRANT NUMBER: 1R01AI110964-01

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$167,708	\$167,708	\$167,708	\$167,708	\$167,708
Fringe Benefit	\$54,168	\$54,168	\$54,168	\$54,168	\$54,168
Supplies	\$21,400	\$19,250	\$7,250	\$7,000	\$3,500
Travel Cost	\$35,918	\$35,918	\$35,918	\$35,918	\$35,918
Other Cost	\$10,000	\$13,550	\$11,050	\$9,800	\$9,400
Contingent/Contractual Cost	\$227,663	\$211,699	\$213,239	\$201,422	\$191,576
TOTAL FEDERAL DC	\$516,857	\$502,293	\$489,333	\$476,016	\$462,270
TOTAL FEDERAL F&A	\$149,585	\$128,152	\$121,757	\$121,096	\$119,376
TOTAL COST	\$666,442	\$630,445	\$611,090	\$597,112	\$581,646

Facilities and Administrative Cost	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	44 1%	44 1%	44 1%	44 1%	44 1%
F&A Cost Base 1	\$339,194	\$290,594	\$276,094	\$274,594	\$270,694
F&A Cost 1	\$149,585	\$128,152	\$121,757	\$121,096	\$119,376

Sent: Mon 4/20/2020 9:49:31 AM (UTC-05:00)
Subject: Urgent request re Wuhan lab research
From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>

[FACTS Snapshot for 2-R01-AI110964-06 DASZAK, PETER QVR.pdf](#)

[NoA R01AI110964-06.pdf](#)

[NoA R01AI110964-01.pdf](#)

[Screen Shot 2020-04-20 at 10.43.02 AM.png](#)

[Screen Shot 2020-04-20 at 10.45.14 AM.png](#)

Hi Larry

Other sites in China – see 4th attachment.

Looks like East China Normal University received \$295,623 during the first 5 years (5th attachment).

In year 6, the Institute of Pathogen Biology received \$75,600.

Thanks, Mike

From: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Date: Wednesday, April 15, 2020 at 7:03 AM
To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Cc: "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
"Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Subject: Re: Wuhan lab research

Good morning – see Section IV of the NoAs:

- Type 1: Wuhan gets 134K to 159K per year.
- Type 2: Wuhan gets \$76,301.

Thanks, Mike

From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Date: Tuesday, April 14, 2020 at 10:05 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Subject: Re: Wuhan lab research

https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49593891&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=

can we get subproject info – costs to Wuhan?

From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>
Date: Tuesday, April 14, 2020 at 10:00 PM
To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>
Cc: "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> "Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>
Subject: Re: Wuhan lab research

Is this what they are referring to: <https://worldreport.nih.gov/app/#/>

From: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>

Date: Tuesday, April 14, 2020 at 9:50 PM

To: "Lauer, Michael (NIH/OD) [E]" <(b) (6)>

Cc: "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>

"Wolinetz, Carrie (NIH/OD) [E]" <(b) (6)>

Subject: FW: Wuhan lab research

Can I get this information asap please?

From: "Pence, Laura (HHS/ASL)" <(b) (6)>

Date: Tuesday, April 14, 2020 at 9:47 PM

To: "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>

"Wolinetz, Carrie (NIH/OD) [E]"

<(b) (6)> "Schwetz, Tara (NIH/OD) [E]" <(b) (6)>

Subject: Wuhan lab research

Hi! Can we get info on this ASAP? Need for the morning. Sorry for the fire drill.

Begin forwarded message:

From: "Arbes, Sarah (HHS/ASL)" <(b) (6)>

Date: April 14, 2020 at 9:30:23 PM EDT

To: "Hallett, Adrienne (NIH/OD) [E]" <(b) (6)>

"Pence, Laura (HHS/ASL)" <(b) (6)>

Cc: "Morse, Sara (HHS/ASL)" <(b) (6)>

Subject: For AMA in the morning

Adrienne and Laura –

Can you please help me run ground truth to this article?: <https://www.soundhealthandlastingwealth.com/health-news/u-s-government-gave-3-7million-grant-to-wuhan-lab-that-experimented-on-coronavirus-source-bats/>

Congressman Gaetz is publicly criticizing HHS/NIH for funding the Wuhan laboratory's bat research. Here's this quote from another article: "I'm disgusted to learn that for years the US government has been funding dangerous and cruel animal experiments at the Wuhan Institute, which may have contributed to the global spread of coronavirus, and research at other labs in China that have virtually no oversight from US authorities."

- How long have we been giving research dollars to this lab?
- How much have we given?
- For what purpose?
- If asked to defend our research dollars going to this lab for this purpose, what do you recommend we say?
- Anything else we should know?

Thanks much!

Sarah

QVR FACTS

FACTS Data Snapshot for: 2-R01-AI110964-06 (DASZAK, PETER)
Understanding the Risk of Bat Coronavirus Emergence

PRINTCLOSE

Appl Id: 9819304

Launch the FACTS SystemFACTS

Hop to CountryProject InformationCHINASINGAPORE

Project Info	
Project Number	2-R01-AI110964-06 (as reflected under competing project number 2-R01-AI110964-06 in FACTS)
PI Name	DASZAK, PETER
Org Name	ECOHEALTH ALLIANCE, INC.
Project Title	Understanding the Risk of Bat Coronavirus Emergence
FY/Project Dates	2019 (Project Period from 2014-06-01 to 2024-06-30)
Project Status	Awarded (05)
Foreign Appl Flag	Domestic Application with Foreign Collaboration (Z)

CHINA

State Department Clearance Request (SDCR ID 219890)

NIAID Contact

SDCR ACTIONS

ACTION DATES

Click the - to hide the Research Objective listed on State Department Clearance.

Bernabe, Gayle

Phone: (b) (6)

Approved

Approve

Submit to State Department

Send to Agency

IC Update

IC Save

2019-05-30

2019-05-30

2019-05-29

2019-05-28

2019-05-24

2019-05-10

This work is an extension and renewal of a previous award, approved under clearances 202191 and 211200. The aims of this research project are to examine the mechanism through which coronaviruses (CoVs) jump from animal hosts/reservoirs to humans (spillover events). To accomplish this work the PI and his team will conduct detailed surveillance for coronaviruses in four provinces: Yunnan, Guizhou, Guangxi, and Guangdong. The exact sites have not yet been identified; as in the previous award, sites will be selected from the four provinces as work progresses. Surveillance will include sampling of wild bat populations. Samples will be collected from animals from each of these sites, and will be analyzed to determine what coronaviruses are present, and whether the viruses are able to infect humans. The investigators plan to collect samples from bats, approximately 5,000 samples total from 15-20 species across all four provinces. Animals will be captured and lightly anesthetized if necessary. They will be swabbed (mouth/nose, urogenital tract, and rectum), and a small amount of blood will be collected. If available, feces and urine will also be collected. Nearly all wild bats will be released unharmed after sampling. A small number of bats (maximum of 2 per species) may be euthanized in order to collect lung and intestinal tissue required for characterizing viral receptors. In order to understand whether select strains of bat-borne CoVs utilize receptors found in bats have the potential to infect people, the investigators will use mice that have been genetically modified to express the human receptor for SARS-CoV. The investigators anticipate identifying 5-6 SARS-related-CoVs that will be tested in mice, using approximately 15-20 mice per virus strain. A maximum of 120 mice will be used for this work over the project. All work involving samples and viral isolates from bats will be performed at the Wuhan Institute of Virology. All animal work will be performed by trained individuals in accordance with the American Veterinary Medical Association guidelines, and the project is overseen by veterinarians. This work has also been reviewed and approved by the investigator's Institutional Animal Care and Use Committee. This project will also study human exposure to animal coronaviruses across the same four provinces in southern China. Samples will be collected from each of these sites from individuals who 1) who are highly exposed to bats in community settings, including through hunting, butchering, or general handling within the context of their living or working environment (18+ years old); and 2) patients admitted to hospitals and clinics presenting with disease symptoms of clinically-defined severe/acute respiratory illness (SARI/ARI) or Influenza-like illness (ILI) of unknown origin (12+ years old). Subjects will be enrolled on a voluntary basis and informed consent will be obtained from all participants. Consenting participants will provide biological samples and complete a questionnaire at the time of acute illness and 35 days after resolution of illness. There will be no follow-up among community participants after initial sample collection. The study population will be selected from the Yunnan, Guangxi, Guangdong, and Guizhou provinces of China. They plan to enroll: 1) in 12 clinic sites across the four provinces, 2,750 individuals (accounting for an estimated 40% loss from follow-up); and 2) in 8 community sites, 1,650 individuals per each of the four provinces, pooled across two sites for each province for a total of 6,660 participants. Enrollment is anticipated to be 100% Asian, with a 50/50 split between males and females. All human subject work will be managed by the team at the Institute for Pathogen Biology.

Collaborator/Site (Site ID: 262256)

Site Flags

Budget Period

Budget Amt

Verified By

Verified Date

ZHU, GUANGJIAN

EAST CHINA NORMAL UNIVERSITY

School of Life Science, B327

Science building, 3663 Zhongshan Beilu

Shanghai 200062

Animals: Y

FWA:

Humans: N

Collaborator/Site (Site ID: 262253)

Site Flags

Budget Period

Budget Amt

Verified By

Verified Date

GUO, LI

INSTITUTE OF PATHOGEN BIOLOGY

Dong Dan San Tiao, No. 9

Dongcheng District

Beijing 100730

Animals: N

FWA: Y

Humans: Y

Collaborator/Site (Site ID: 262252)

Site Flags

Budget Period

Budget Amt

Verified By

Verified Date

REN, L LI

INSTITUTE OF PATHOGEN BIOLOGY

Dong Dan San Tiao, No. 9

Dongcheng District

Beijing 100730

Animals: N

FWA: Y

Humans: Y

Collaborator/Site (Site ID: 262251) HU, BEN WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 261948) SHI, ZHENG LI WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 262250) ZHOU, PENG WUHAN INSTITUTE OF VIROLOGY Xiao Hong SHan, No. 44 Wuchang District Wuhan 430071	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date

SINGAPORE

State Department Clearance Request (SDCR ID 219753)

NIAID Contact

SDCR ACTIONS

ACTION DATES

Click the + to show the Research Objective listed on State Department Clearance

[Bernabe, Gayle](#)
Phone: 301-451-1018**Approved**
Auto Approval
Send to Agency
Submit to State Department
IC Save**2019-05-20**
2019-05-20
2019-05-06
2019-05-06
2019-05-01

Collaborator/Site (Site ID: 262258) WANG, LINFA DUKE-NUS MEDICAL SCHOOL 8 College Road Singapore 169857	Site Flags Animals: N FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
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NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Grant Number: 2R01AI110964-06 REVISED

FAIN: R01AI110964

Principal Investigator(s):

PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus Emergence

Dr. Daszak, Peter
PD/PI
460 West 34th Street
Suite 1701
New York, NY 100012320

Award e-mailed to: (b) (6)

Period Of Performance:

Budget Period: 07/24/2019 – 06/30/2020

Project Period: 06/01/2014 – 06/30/2024

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect a decrease in the amount of \$71,770 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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 your ,

Tseday G Girma
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 2R01AI110964-06 REVISED**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$170,123
Fringe Benefits	\$53,590
Personnel Costs (Subtotal)	\$223,713
Consultant Services	\$49,750
Materials & Supplies	\$20,850
Travel	\$15,027
Subawards/Consortium/Contractual Costs	\$229,651

Federal Direct Costs	\$538,991
Federal F&A Costs	\$122,989
Approved Budget	\$661,980
Total Amount of Federal Funds Obligated (Federal Share)	\$661,980
TOTAL FEDERAL AWARD AMOUNT	\$661,980

AMOUNT OF THIS ACTION (FEDERAL SHARE) (\$-71,770)

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
6	\$661,980	\$661,980
7	\$637,980	\$637,980
8	\$637,980	\$637,980
9	\$637,980	\$637,980
10	\$637,980	\$637,980

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

Fiscal Information:

CFDA Name: Allergy and Infectious Diseases Research
CFDA Number: 93.855
EIN: 1311726494A1
Document Number: RAI110964B
PMS Account Type: P (Subaccount)
Fiscal Year: 2019

IC	CAN	2019	2020	2021	2022	2023
AI	8472364	\$661,980	\$637,980	\$637,980	\$637,980	\$637,980

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

NIH Administrative Data:

PCC: M51C B / **OC:** 414B / **Released:** (b) (6) 08/02/2019
Award Processed: 08/05/2019 12:01:51 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 2R01AI110964-06 REVISED

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

SECTION III – TERMS AND CONDITIONS – 2R01AI110964-06 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:

- 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.

- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

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

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

This 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) R01AI110964. 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 include 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, recipient organizations that have currently active Federal grant, cooperative agreement, 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 II to 45 CFR Part 75. This term does not apply to NIH fellowships.

SECTION IV – AI Special Terms and Conditions – 2R01AI110964-06 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 adjust the budget in accordance with the letter from Aleksei Chmura/ECOHealth Alliance.

Supersedes previous Notice of Award dated **07/24/2019**.

This Notice of Award (NoA) includes funds for activity with **The University of North Carolina at Chapel Hill** in the amount of **\$77,750 (\$50,000 direct costs + \$27,750 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Wuhan Institute of Virology** in the amount of **\$76,301 (\$70,649 direct costs + \$5,652 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Institute of Pathogen Biology** in the amount of **\$75,600 (\$70,000 direct costs + \$5,600 F&A costs)**.

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:

Wuhan Institute of Virology, CHINA

Institute of Pathogen Biology, CHINA

East China Normal University, CHINA

Duke-NUS Medical School, SINGAPORE

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

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.

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

Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated in the page(s) **203** 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.

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.

Awardees who conduct research involving Select Agents (see 42 CFR 73 for the Select Agent list; and 7 CFR 331 and 9 CFR 121 for the relevant animal and plant pathogens at <http://www.selectagents.gov/Regulations.html>) must complete registration with CDC (or APHIS, depending on the agent) before using NIH funds. No funds can be used for research involving Select Agents if the final registration certificate is denied.

Prior to conducting a restricted experiment with a Select Agent or Toxin, awardees must notify the NIAID and must request and receive approval from CDC or APHIS.

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 Report 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 point

Any change in the use of the Agent() or Toxin() including 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() 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.

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: Tseday G Girma

Email: (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: (b) (6) **Phone:** (b) (6)

SPREADSHEET SUMMARY

GRANT NUMBER: 2R01AI110964-06 REVISED

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 6	Year 7	Year 8	Year 9	Year 10
Salaries and Wages	\$170,123	\$170,123	\$170,123	\$170,123	\$170,123
Fringe Benefits	\$53,590	\$53,590	\$53,590	\$53,590	\$53,590
Personnel Costs (Subtotal)	\$223,713	\$223,713	\$223,713	\$223,713	\$223,713
Consultant Services	\$49,750	\$49,750	\$49,750	\$49,750	\$49,750
Materials & Supplies	\$20,850	\$14,850	\$14,850	\$14,850	\$14,850
Travel	\$15,027	\$15,027	\$15,027	\$15,027	\$15,027
Subawards/Consortium/Contractual Co t	\$229,651	\$229,651	\$229,651	\$229,651	\$229,651
Publication Co t		\$6,000	\$6,000	\$6,000	\$6,000
TOTAL FEDERAL DC	\$538,991	\$538,991	\$538,991	\$538,991	\$538,991
TOTAL FEDERAL F&A	\$122,989	\$98,989	\$98,989	\$98,989	\$98,989
TOTAL COST	\$661,980	\$637,980	\$637,980	\$637,980	\$637,980

Facilitie and Admini trative Co t	Year 6	Year 7	Year 8	Year 9	Year 10
F&A Co t Rate 1	32%	32%	32%	32%	32%
F&A Co t Ba e 1	\$384,340	\$309,340	\$309,340	\$309,340	\$309,340
F&A Co t 1	\$122,989	\$98,989	\$98,989	\$98,989	\$98,989



Grant Number: 1R01AI110964-01
FAIN: R01AI110964

Principal Investigator(s):
PETER DASZAK, PHD

Project Title: Understanding the Risk of Bat Coronavirus Emergence

Aleksei
President
460 West 34th Street
17th Floor
New York, NY 100012317

Award e-mailed to: (b) (6)

Budget Period: 06/01/2014 – 05/31/2015
Project Period: 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$666,442 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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,

Laura A. Pone
Grants Management Officer
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

SECTION I – AWARD DATA – 1R01AI110964-01**Award Calculation (U.S. Dollars)**

Salaries and Wages	\$167,708
Fringe Benefits	\$54,168
Supplies	\$21,400
Travel Costs	\$35,918
Other Costs	\$10,000
Consortium/Contractual Cost	\$227,663

Federal Direct Costs	\$516,857
Federal F&A Costs	\$149,585
Approved Budget	\$666,442
Federal Share	\$666,442
TOTAL FEDERAL AWARD AMOUNT	\$666,442

AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$666,442
--	------------------

SUMMARY TOTALS FOR ALL YEARS		
YR	THIS AWARD	CUMULATIVE TOTALS
1	\$666,442	\$666,442
2	\$630,445	\$630,445
3	\$611,090	\$611,090
4	\$597,112	\$597,112
5	\$581,646	\$581,646

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

Fiscal Information:

CFDA Number:	93.855
EIN:	1311726494A1
Document Number:	RAI110964A

PMS Account Type:	P (Subaccount)
Fiscal Year:	2014

IC	CAN	2014	2015	2016	2017	2018
AI	8472350	\$666,442	\$630,445	\$611,090	\$597,112	\$581,646

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

NIH Administrative Data:

PCC: M51C / OC: 414A / Released: (b) (6) 05/20/2014

Award Processed: 05/08/2014 01:52:21 PM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01AI110964-01

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

SECTION III – TERMS AND CONDITIONS – 1R01AI110964-01

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

- a. The grant program legislation and program regulation cited in this Notice of Award.

- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. 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.)

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 Central Contractor Registration. 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) R01AI110964. 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://publicacces.nih.gov/>

Treatment of Program Income: Additional Cost

SECTION IV – AI Special Terms and Conditions – 1R01AI110964-01

THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF AWARD.

RESTRICTION: This award is issued with the knowledge that subjects may be involved within the period of support, but definite plans were not set forth in the application as per 45 CFR 46.118. No human subjects may be involved in any project supported by this award until all requirements for Human Subjects research as identified in the PHS398/SF424 Instructions have been provided to and approved by NIH.

RESTRICTION: The present award is being made without a currently valid certification of IRB approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the NIAID's acceptance of the certification of IRB review and approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects prior to the NIAID's notification to the grantee that the identified issues have been resolved and this restriction removed.

~~~~~  
This award includes funds for subcontract/consortium activity with Wuhan Institute of Virology, CHINA and is budgeted as follows:

|                      | -Yr 1     | -Yr 2     | -Yr 3     | -Yr 4     | -Yr 5     |
|----------------------|-----------|-----------|-----------|-----------|-----------|
| Total Direct Costs   | \$123,699 | \$128,718 | \$147,335 | \$147,335 | \$147,335 |
| F&A Costs @ 8%(MTDC) | \$9,896   | \$10,297  | \$11,787  | \$11,787  | \$11,787  |
| TOTAL COSTS          | \$133,595 | \$139,015 | \$159,122 | \$159,122 | \$159,122 |

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~  
This award includes funds for subcontract/consortium activity with East China Normal University, CHINA and is budgeted as follows:

	-Yr 1	-Yr 2	-Yr 3	-Yr 4	-Yr 5
Total Direct Costs	\$87,100	\$67,300	\$50,108	\$39,167	\$14,850
F&A Costs @ 8%(MTDC)	\$6,968	\$5,384	\$4,009	\$3,133	\$2,404
TOTAL COSTS	\$94,068	\$72,684	\$54,117	\$42,300	\$32,454

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~ 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 a change in an ongoing experiment that would require change in the bio safety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individual who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.electagent.gov/Regulation.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/oh/biofty/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 Bio safety 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 Agent and/or Highly Pathogenic Agent, 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.

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: Laura A. Pone

Email: (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

Program Official: Erik J. Stemmy

Email: (b) (6) **Phone:** (b) (6)

SPREADSHEET SUMMARY

GRANT NUMBER: 1R01AI110964-01

INSTITUTION: ECOHEALTH ALLIANCE, INC.

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$167,708	\$167,708	\$167,708	\$167,708	\$167,708
Fringe Benefit	\$54,168	\$54,168	\$54,168	\$54,168	\$54,168
Supplies	\$21,400	\$19,250	\$7,250	\$7,000	\$3,500
Travel Cost	\$35,918	\$35,918	\$35,918	\$35,918	\$35,918
Other Cost	\$10,000	\$13,550	\$11,050	\$9,800	\$9,400
Contingent/Contractual Cost	\$227,663	\$211,699	\$213,239	\$201,422	\$191,576
TOTAL FEDERAL DC	\$516,857	\$502,293	\$489,333	\$476,016	\$462,270
TOTAL FEDERAL F&A	\$149,585	\$128,152	\$121,757	\$121,096	\$119,376
TOTAL COST	\$666,442	\$630,445	\$611,090	\$597,112	\$581,646

Facilities and Administrative Cost	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	44.1%	44.1%	44.1%	44.1%	44.1%
F&A Cost Base 1	\$339,194	\$290,594	\$276,094	\$274,594	\$270,694
F&A Cost 1	\$149,585	\$128,152	\$121,757	\$121,096	\$119,376

Collaborator/Site (Site ID: 262256) ZHU, GUANGJIAN EAST CHINA NORMAL UNIVERSITY School of Life Science, B327 Science building, 3663 Zhongshan Beilu Shanghai 200062	Site Flags Animals: Y FWA: Humans: N	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 262253) GUO, LI INSTITUTE OF PATHOGEN BIOLOGY Dong Dan San Tiao, No. 9 Dongcheng District Beijing 100730	Site Flags Animals: N FWA: Y Humans: Y	Budget Period	Budget Amt	Verified By	Verified Date
Collaborator/Site (Site ID: 262252) REN, LILI INSTITUTE OF PATHOGEN BIOLOGY Dong Dan San Tiao, No. 9 Dongcheng District Beijing 100730	Site Flags Animals: N FWA: Y Humans: Y	Budget Period	Budget Amt	Verified By	Verified Date

~~~~~  
This award includes funds for subcontract/consortium activity with East China Normal University, CHINA and is budgeted as follows:

|                      | -Yr 1    | -Yr 2    | -Yr 3    | -Yr 4    | -Yr 5    |
|----------------------|----------|----------|----------|----------|----------|
| Total Direct Costs   | \$87,100 | \$67,300 | \$50,108 | \$39,167 | \$14,850 |
| F&A Costs @ 8%(MTDC) | \$6,968  | \$5,384  | \$4,009  | \$3,133  | \$2,404  |
| TOTAL COSTS          | \$94,068 | \$72,684 | \$54,117 | \$42,300 | \$32,454 |

**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**To:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re:  
**Sent:** Mon 4/27/2020 6:55:29 PM (UTC-05:00)  
[Daszak letter 4 24 20.pdf](#)

Attached

On 4/27/20, 7:44 PM, "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> wrote:

Please send me copy of the second letter re. Wuhan

Sent from my iPhone





National Institutes of Health  
National Institute of Allergy  
and Infectious Diseases  
Bethesda, Maryland 20892

24 April 2020

Drs. Aleksei Chmura and Peter Daszak  
EcoHealth Alliance, Inc.  
460 W 34<sup>th</sup> St  
Suite 1701  
New York, NY 10001

Re: Termination of NIH Grant R01 AI 110964

Dear Drs. Chmura and Daszak:

I am writing to notify you that the National Institute of Allergy and Infectious Diseases (NIAID), an Institute within the National Institutes of Health (NIH), under the Department of Health and Human Services (HHS) has elected to terminate the project *Understanding the Risk of Bat Coronavirus Emergence*, funded under grant R01 AI110964, for convenience. This grant project was issued under the authorization of Sections 301 and 405 of the Public Health Service Act as amended (42 USC 241 and 284). This grant was funded as a discretionary grant as outlined in the [NIH Grants Policy Statement](#), which states that the decision not to award a grant, or to award a grant at a particular funding level, is at the discretion of the agency, in accordance with NIH's dual review system.

At this time, NIH does not believe that the current project outcomes align with the program goals and agency priorities. NIAID has determined there are no animal and human ethical considerations, as this project is not a clinical trial, but rather an observational study.

As a result of this termination, a total of \$369,819.56 will be remitted to NIAID and additional drawdowns will not be supported. The remaining funds have been restricted in the HHS Payment Management System, effective immediately.

Please let me know if you have any questions concerning the information in this letter.

Sincerely,

Lauer, Michael (NIH/OD) [E]  
Digitally signed by Lauer, Michael (NIH/OD) [E]  
Date: 2020.04.24 16:41:16 -04'00'

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
Email: (b) (6)

cc: Dr. Erik Stemmy  
Ms. Emily Linde





**From:** "Bettencourt, Alice (HHS/ASFR)" <(b) (6)>  
**To:** "Lauer, Michael (NIH/NHLBI) [E]" <(b) (6)> "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>  
"Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Lauer, Michael (NIH/NHLBI) [E]" <(b) (6)>  
**Subject:** RE: Subrecipients Under FAIN R01AI110964  
**Sent:** Mon 4/20/2020 4:00:40 PM (UTC-05:00)

Thanks Mike!

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 4:57 PM  
**To:** Bettencourt, Alice (HHS/ASFR) <(b) (6)> Bulls, Michelle G. (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Cc:** Lauer, Michael (NIH/NHLBI) [E] <(b) (6)>  
**Subject:** Re: Subrecipients Under FAIN R01AI110964

Hi Alice – here’s the info I have – from NIAID. Thanks, Mike

R01-AI-110964, Peter Daszak, PI to ECOHEALTH ALLIANCE

Initial competitive segment (starting with Type 1, grant years 01-05 funded from 06/01/2014 - 05/31/2019)

Funded Chinese sites:

|                                        |                     |
|----------------------------------------|---------------------|
| East China Normal University, Shanghai | \$295,623 (5 years) |
| Wuhan Inst. Virology, Wuhan            | \$749,966 (5 years) |

Chinese collaborators (no funds awarded) also located at:

Center for Disease Control and Prevention, Guangzhou  
Guangdong Entomological Institute, Shanghai  
Yunnan Institute of Endemic Diseases Control and Prevention, Dali

Second competitive segment (starting with Type 2, revised NOA)

Currently in year 6 (budget period ends 6/30/2020, project period ends 6/30/2024)

Funded Chinese sites:

|                                        |                   |
|----------------------------------------|-------------------|
| Institute of Pathogen Biology, Beijing | \$75,600 (1 year) |
| Wuhan Institute of Virology, Wuhan     | \$76,301 (1 year) |

Chinese collaborators also located at:

East China Normal University, Shanghai receiving consultant costs for \$49,750 (1 year)

---

**From:** "Bettencourt, Alice (HHS/ASFR)" <(b) (6)>  
**Date:** Monday, April 20, 2020 at 4:49 PM  
**To:** "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Subrecipients Under FAIN R01AI110964

Mike, Michelle,

OMB has requested via Jen M. to know if there are subrecipients to Ecohealth Alliance under the subject FAIN. No subrecipients are reported in USASpending. Could you please have the application checked and let me know. (b) (5)

Thank you,

Alice

**Sent:** Thur 4/23/2020 9:41:23 AM (UTC-05:00)  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**To:** "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> Compliance Review <(b) (6)>  
"Tarwater, Robert (NIH/OD) [E]" <(b) (6)>

Yes, please, that would be great

---

**From:** "Bulls, Michelle G (NIH/OD) [E]" <(b) (6)>  
**Date:** Thursday, April 23, 2020 at 10:37 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> Compliance Review <(b) (6)>  
"Tarwater, Robert (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Ok, would you like to have a high level summary of the outcome of our discussions w/them? Let me know and I will be sure to send it to you.

Thank  
Michelle

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Thursday, April 23, 2020 10:36 AM  
**To:** Bulls, Michelle G. (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Cc:** Schwetz, Tara (NIH/OD) [E] <(b) (6)> Compliance Review <(b) (6)> Tarwater, Robert (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Many thanks – we'll be discussing the grant at Microstaff late this afternoon.

Best, Mike

---

**From:** "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>  
**Date:** Thursday, April 23, 2020 at 10:28 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Schwetz, Tara (NIH/OD) [E]" <(b) (6)> Compliance Review <(b) (6)>  
"Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)> "Tarwater, Robert (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

We have shared those concerns w/NIAID. We have another meeting w/them today to discuss next steps on this, as well. Thanks.

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**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Tuesday, April 21, 2020 7:31 PM  
**To:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Cc:** Lauer, Michael (NIH/OD) [E] <(b) (6)> Bulls, Michelle G. (NIH/OD) [E] <(b) (6)> Schwetz, Tara (NIH/OD) [E] <(b) (6)> Compliance Review <(b) (6)>  
**Subject:** FW: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Hi Jodi – as we discussed and please note. (b) (5) ; we are waiting for Larry to circle back to us on that as well.

Many thanks, Mike

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**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Date:** Tuesday, April 21, 2020 at 7:28 PM  
**To:** Peter Daszak <(b) (6)>

Cc: "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Many thanks Peter for your response.

We note that:

- No monies have gone to WIV on the Type 2 award and no contract has been signed.
- You agree that you will not provide any funds to WIV until and unless directed otherwise by NIH.
- All foreign sites for the Type 1 and Type 2 awards have been documented in the progress reports submitted to NIH.

We appreciate your working with us.

Best, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Peter Daszak <(b) (6)>  
**Date:** Tuesday, April 21, 2020 at 7:07 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records
2. My Program Officer for this award, Dr. Erik Stemmy & the Division Director (DMID), Dr. Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds form 2R01AI110964-06 have been sent to Wuhan Institute of Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course.

Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

**Peter Daszak**  
President

EcoHealth Alliance  
460 West 34<sup>th</sup> Street  
New York, NY 10001  
USA

Tel.: (b) (6)  
Website: [www.ecohealthalliance.org](http://www.ecohealthalliance.org)  
Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

*EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation*

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 4:31 PM  
**To:** Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Kevin Olival <(b) (6)>  
**Date:** Monday, April 20, 2020 at 4:14 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak (b) (6) who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,  
Kevin

**Kevin J. Olival, PhD**  
*Vice President for Research*

EcoHealth Alliance  
460 West 34th Street, Suite 1701  
New York, NY 10001

(b) (6) (direct)  
(b) (6) (mobile)  
1.212.380.4465 (fax)

[www.ecohealthalliance.org](http://www.ecohealthalliance.org)

EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

---

**From:** Naomi Schrag <(b) (6)>  
**Date:** Sunday, April 19, 2020 at 11:59 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)" <(b) (6)>  
<(b) (6)> Naomi Schrag <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,  
I am acknowledging receipt of this letter and will get back to you as soon as I can.  
Sincerely,  
Naomi Schrag

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Sunday, April 19, 2020 11:00 AM  
**To:** (b) (6) Naomi Schrag <(b) (6)>  
**Cc:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Subject:** Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD

NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: 301-496-1096  
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>



**From:** Peter Daszak <(b) (6)>  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> Naomi Schrag <(b) (6)> Kevin Olival <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Sent:** Tue 4/21/2020 12:32:21 AM (UTC-05:00)

Dear Michael Lauer & Jodi Black – I now have your email and will deal with it directly with you and your staff. Naomi is correct that there is no involvement of Columbia University in this grant. I'm sure NIH has records to confirm that.

From this moment on, I will not cc any staff at Columbia as part of this discussion, and I hope you will also honor that. Respectfully, the discussion of whether or not EHA is an affiliate of CU is entirely irrelevant to the request that you contacted us about, and should remain a private matter between EcoHealth Alliance and Columbia University.

I'll look over your email and respond tomorrow.

Cheers,

Peter

**Peter Daszak**  
*President*

EcoHealth Alliance  
460 West 34<sup>th</sup> Street  
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*EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation*

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 6:35 PM  
**To:** Naomi Schrag <(b) (6)> Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>  
**Cc:** Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Thanks Naomi – not the impression an observer would get looking at the website (see screen shot), but we understand about the grant.

If they “are entirely separate entities” then why does Columbia identify EcoHealth Alliance as an “Affiliation/Department” on its website.

Maybe with the label “Affiliation/Department” you would have a clearly visible disclaimer that says, “EcoHealth Alliance is not affiliated with nor a department of Columbia”? – although even that is internally contradictory.

Best, Mike

---

**From:** Naomi Schrag <(b) (6)>

**Date:** Monday, April 20, 2020 at 5:19 PM

**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> Kevin Olival <(b) (6)>  
(b) (6) <(b) (6)>

**Cc:** Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>

**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,

Columbia and EcoHealth Alliance are entirely separate entities. Some individuals affiliated with EcoHealth Alliance do have adjunct appointments in Columbia's Ecology, Evolution, and Environmental Biology ("E3B") department, but we are not aware of any Columbia involvement with the referenced grant, and have found no agreement or record in our grants system to the contrary.

We would be happy to answer any additional questions. Thank you.

Sincerely,

Naomi Schrag

Naomi J. Schrag

Vice President for Research Compliance, Training and Policy

Office of Research Compliance and Training

475 Riverside Drive, Suite 840

New York, New York 10115

(b) (6)

[www.researchcompliance.columbia.edu](http://www.researchcompliance.columbia.edu)

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>

**Sent:** Monday, April 20, 2020 4:31 PM

**To:** Kevin Olival <(b) (6)> (b) (6)

**Cc:** Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E]  
<(b) (6)>

**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

**Importance:** High

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- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
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Best, Mike

Michael S Lauer, MD

NIH Deputy Director for Extramural Research

1 Center Drive, Building 1, Room 144

Bethesda, MD 20892

Phone: (b) (6)

Email: (b) (6)

---

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**Date:** Monday, April 20, 2020 at 4:14 PM



**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

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2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,  
Kevin

**Kevin J. Olival, PhD**  
*Vice President for Research*

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EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

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**From:** Naomi Schrag <(b) (6)>  
**Date:** Sunday, April 19, 2020 at 11:59 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)" <(b) (6)>  
<(b) (6)> Naomi Schrag <(b) (6)>  
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Naomi Schrag

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**Sent:** Sunday, April 19, 2020 11:00 AM  
**To:** (b) (6) Naomi Schrag <(b) (6)>  
**Cc:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Subject:** Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

# State Department cables warned of safety issues at Wuhan lab studying bat coronaviruses

[Josh Rogin](#)



A woman wearing a protective suit at a hospital in Wuhan, China. (Aly Song/Reuters)

Two years before the novel [coronavirus](#) pandemic upended the world, U.S. Embassy officials visited a Chinese research facility in the city of Wuhan several times and sent two official warnings back to Washington about inadequate safety at the lab, which was conducting risky studies on coronaviruses from bats. The cables have fueled discussions inside the U.S. government about whether this or another Wuhan lab was the source of the virus — even though conclusive proof has yet to emerge.

In January 2018, the U.S. Embassy in Beijing took the unusual step of repeatedly sending U.S. science diplomats to the Wuhan Institute of Virology (WIV), which had in 2015 become China's first laboratory to achieve the highest level of international bio research safety (known as BSL-4). WIV issued a news release in English about the last of these visits, which occurred on March 27, 2018. The U.S. delegation was led by Jamison Fouss, the consul general in Wuhan, and Rick Switzer, the embassy's counselor of environment science, technology and health. Last week, [WIVased](#) that statement from its website, though it remains archived on the Internet.

### [\*Full coverage of the coronavirus pandemic\*](#)

What the U.S. officials learned during their visits concerned them so much that they dispatched two diplomatic cables categorized as Sensitive But Unclassified back to Washington. The cables warned about safety and management weaknesses at the WIV lab and proposed more attention and help. The first cable, which I obtained, also warns that the lab's work on bat coronaviruses and their potential human transmission represented a risk of a new SARS-like pandemic.

"During interactions with scientists at the WIV laboratory, they noted the new lab has a serious shortage of appropriately trained technicians and investigators needed to safely operate this high-containment laboratory," states the Jan. 19, 2018, cable, which was drafted by two officials from the embassy's environment, science and health sections who met with the WIV scientists. (The State Department declined to comment on this and other details of the story.)

Global Opinions writer Josh Rogin has obtained a 2018 U.S. diplomatic cable urging Washington to better support a Chinese lab researching bat coronaviruses. (Joshua Carroll, Kate Woodsome, Josh Rogin/The Washington Post)

The Chinese researchers at WIV were receiving assistance from the Galvesto National Laboratory at the University of Texas Medical Branch and other U.S. organizations, but the Chinese requested additional help. The cables argued that the United States should give the Wuhan lab further support, mainly because its research on bat coronaviruses was important but also dangerous.

As the cable noted, the U.S. visitors met with Shi Zhengli, the head of the research project, who had been publishing studies related to bat coronaviruses [for many years](#). In November 2017, just before the U.S. officials' visit, Shi's team had [published research](#) showing that horseshoe bats they had collected from a cave in Yunnan province were very likely from the same bat population that spawned the SARS coronavirus in 2003.

[\*Sign up for our Coronavirus Updates newsletter to track the outbreak. All stories linked in the newsletter are free to access.\*](#)

"Most importantly," the cable states, "the researchers also showed that various SARS-like coronaviruses can interact with ACE2, the human receptor identified for SARS-coronavirus. This finding strongly suggests that SARS-like coronaviruses from bats can be transmitted to humans to cause SARS-like diseases. From a public health perspective, this makes the continued surveillance of SARS-like coronaviruses in bats and study of the animal-human interface critical to future emerging coronavirus outbreak prediction and prevention."

The research was designed to prevent the next SARS-like pandemic by anticipating how it might emerge. But even in 2015, other [scientists questioned](#) whether Shi's team was taking unnecessary risks. In October 2014, the U.S. government had [imposed a moratorium](#) on funding of any research that makes a virus more deadly or contagious, known as "gain-of-function" experiments.

As [many have pointed out](#), there is no evidence that the virus now plaguing the world was engineered; scientists largely agree it came from animals. But that not the same as saying it didn't come from the lab, which spent years testing bat coronaviruses in animals, said Xiao Qiang, a research scientist at the School of Information at the University of California at Berkeley.

“The cable tells us that there have long been concerns about the possibility of the threat to public health that came from this lab's research, if it was not being adequately conducted and protected,” he said.

There are similar concerns about the nearby Wuhan Center for Disease Control and Prevention lab, which operates at biosecurity level 2, a level significantly less secure than the level-4 standard claimed by the Wuhan Institute of Virology lab, Xiao said. That's important because the Chinese government still refuses to answer basic questions about the origin of the novel coronavirus while suppressing any attempts to examine whether either lab was involved.

Sources familiar with the cables said they were meant to sound an alarm about the grave safety concerns at the WIV lab, especially regarding its work with bat coronaviruses. The embassy officials were calling for more U.S. attention to this lab and more support for it, to help it fix its problems.

“The cable was a warning shot,” one U.S. official said. “They were begging people to pay attention to what was going on.”

No extra assistance to the labs was provided by the U.S. government in response to these cables. The cables began to circulate again inside the administration over the past two months as officials debated whether the lab could be the origin of the pandemic and what the implications would be for the U.S. pandemic response and relations with China.

Inside the Trump administration, many national security officials have long suspected either the WIV or the Wuhan Center for Disease Control and Prevention lab was the source of the novel coronavirus outbreak. [According to](#) the New York Times, the intelligence community has provided no evidence to confirm this. But one senior administration official told me that the cables provide one more piece of evidence to support the possibility that the pandemic is the result of a lab accident in Wuhan.

“The idea that it was just a totally natural occurrence is circumstantial. The evidence it leaked from the lab is circumstantial. Right now, the ledger on the side of it leaking from the lab is packed with bullet points and there’s almost nothing on the other side,” the official said.

As my colleague David Ignatius [noted](#), the Chinese government’s original story — that the virus emerged from a seafood market in Wuhan — is shaky. Research by Chinese experts published [in the Lancet](#) in January showed the first known patient, identified on Dec. 1, had no connection to the market, nor did more than one-third of the cases in the first large cluster. Also, the market didn’t sell bats.

[\*The Opinions section is looking for stories of how the coronavirus has affected people of all walks of life. Write to us.\*](#)

Shi and [other WIV researchers](#) have [categorically denied](#) this lab was the origin for the novel coronavirus. On Feb. 3, her team was the first [publicly report](#) the virus known as 2019-nCoV was a bat-derived coronavirus.

The Chinese government, meanwhile, has put a total lockdown on information related to the virus origins. Beijing has yet to provide U.S. experts with sample of the novel coronavirus collected from the earliest cases. The Shanghai lab that published the novel coronavirus genome on Jan. 11 was quickly shut down by authorities for “rectification.” Several of the [doctors and journalists](#)



who reported on the spread early on have disappeared.

On Feb. 14, Chinese President Xi Jinping [pledged for](#) a new biosecurity law to be accelerated. On Wednesday, [CNN reported](#) the Chinese government has placed severe restrictions requiring approval before any research institution publishes anything on the origin of the novel coronavirus.

The origin story is not just about blame. It's crucial to understanding how the novel coronavirus pandemic started because that informs how to prevent the next one. The Chinese government must be transparent and answer the questions about the Wuhan labs because they are vital to our scientific understanding of the virus, said Xiao.

We don't know whether the novel coronavirus originated in the Wuhan lab, but the cable pointed to the danger there and increases the impetus to find out, he said.

"I don't think it's a conspiracy theory. I think it's a legitimate question that needs to be investigated and answered," he said. "To understand exactly how this originated is critical knowledge for preventing this from happening in the future."

[Read this piece in Chinese](#)

[Read this piece in Spanish](#)

[David Ignatius: How did covid-19 begin? Its initial origin story is shaky.](#)

[Marc A. Thiessen: China should be legally liable for the pandemic damage it has done](#)

[We need smart solutions to mitigate the coronavirus's impact. Here are 23](#)



[Michael L. Barnett and David C. GrabowsCovid-19 is ravaging nursing homes. We're getting what we paid for.](#)

[Megan McArdle: Why the lockdown skeptics are wrong](#)

[Xinyan Yu: My hometown showed us how a pandemic begins. Could it also show us how one ends?](#)

# China Lab In Focus Of Coronavirus Outbreak

[Don Reisinger](#) 05-35pm EDT



People wearing face masks wait to buy roasted duck at a restaurant in Wuhan, China's central Hubei

AFP via Getty Images

For months, anyone who said the new SARS coronavirus might have come out of a virology research lab in Wuhan, China was dismissed as a right wing xenophobe.

When Zero Hedge — a financial news website whose comment section certainly fits the right wing stereotype — first put out its own bombastic version of the bat-borne virus escaping a research lab, they were banned from

Twitter.

FOX host Tucker Carlson starting banging this drum last week.

But on Tuesday, the narrative flipped. It's no longer a story shared by China bears and President Trump fans. Today, Josh Rogin, who is said to be as plugged into the State Department as a *Washington Post* columnist, was shown documents dating back to 2015 revealing how the U.S. government was worried about safety standards at that Wuhan lab. In fact, they were worried that one day, one of these experiments — including the one on bat coronaviruses — could escape and become a global nightmare.

In a best case scenario, Rogin's reveal may ultimately get China to cooperate more in regards to the origins of the virus, setting the table for better drugs to mitigate or even cure the deadly COVID-19. At the very least, for a government that likes to save face, the fact that the U.S. government helped build and fund the Wuhan virology lab in question should be enough for China to open that info vault to scientists at the World Health Organization.

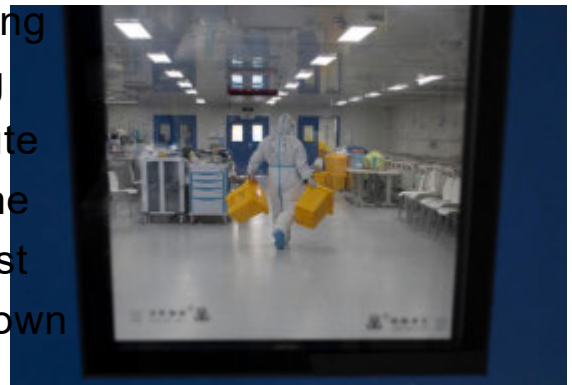
[Washington Post Opinion | State Department cables warned of safety issues at Wuhan lab studying bat coronaviruses](#)

"I don't think it's a conspiracy theory. I think it's a legitimate question that needs to be investigated and answered," Xiao Qiang, a research scientist at the School of Information at the University of California at Berkeley told Rogin "To understand exactly how this originated is critical knowledge for preventing this from happening in the future."

China has not been forthcoming about the new SARS coronavirus origins. They're not being entirely transparent, despite being heralded as such by some leaders.

An example of that secrecy from Rogin:

“In January 2018, the U.S. Embassy in Beijing took the unusual step of repeatedly sending U.S. science diplomats to the Wuhan Institute of Virology (WIV), which had in 2015 become China’s first laboratory to achieve the highest level of international bioresearch safety (known as BSL-4). WIV issued a news release in English about the last of these visits, which occurred on March 27, 2018. The U.S. delegation was led by Jamison Fouss, the consul general in Wuhan, and Rick Switzer, the embassy’s counselor of environment, science, technology and health. Last week, WIV [erased](#) that statement from its website, though it remains archived on the Internet.”



A medical worker cleans up, Wuhan, Hubei Province, China, April 14, 2020. Tomorrow, leishenshan... [+]

Barcroft Media via Getty Images

Worth noting, at least one young researcher from the lab [uang Yanling](#)— a graduate student [rumored to be patient zero](#)— was scrubbed from the lab’s website.

The first, mysterious samples from infected individuals arrived at Wuhan Institute of Virology on December 30, 2019.

According to the Scientific American magazine, Shi Zhengli, a renown bat scientist in China, was told by the Institute’s director that the Wuhan Center for Disease Control and Prevention — modeled after our own CDC — had detected a novel coronavirus in two hospital patients. They were suffering from an odd pneumonia. They wanted her laboratory to investigate because the virus belonged to the same family of bat-borne viruses that caused SARS, a disease that — by comparison — only infected 8,100 people and killed just

under 800 in an 8 month period in 2002-03.

“I had never expected this kind of thing to happen in Wuhan, in central China, she was quoted as saying by [Scientific American on March 11](#). Her studies had shown that the southern, subtropical areas of Guangdong, Guangxi and Yunnan had the greatest risk of coronaviruses jumping to humans from animals—particularly bats, a known reservoir for many viruses. If bat coronaviruses were the culprit, she recalled to Scientific American, “could they have come from our lab?”

She has since promised the world that it did not come from her lab, though how she would know that for sure is unknown. We don't know where she is. If she is making the media rounds on Chinese television, few in the U.S. would believe her at this point.

Her research on bat coronaviruses goes back to 2015. [Here is published in 2015](#) in Nature magazine. There is a lot of information about this new SARS, yet the world still seems stuck in the unknowns.

The U.S. government helped build and fund Wuhan virology labs. The thinking was that it was important for China to get up to par in the global life sciences. was already a known center of previous outbreaks. Investing there and educating them on international safety standards was just preventative medicine.

Rogin's reporting suggests that government officials were well aware of the research being conducted in the lab on bat coronaviruses and were worried that the lab still had sub-par safety standards.

Rogin writes that, “What the U.S. officials learned during their visits concerned them so much that they dispatched two diplomatic cables categorized as Sensitive But Unclassified back to Washington. The cables warned about

safety and management weaknesses at the WIV lab and proposed more attention and help. The first cable, which I obtained, also warns that the lab's work on bat coronaviruses and their potential human transmission represented a risk of a new SARS-like pandemic."



Chinese President Xi Jinping hears about the progress on a vaccine at the Academy of Military ... [+]

Xinhua News Agency/Getty Images

Rogin's article probably stemmed from conversations with someone inside the State Department boiling at the rim over many weeks as the U.S. faces a "stop the world" moment because of this pandemic.

Over the weekend, the Chinese government banned academic and other research institutions from publishing its research on coronaviruses on their websites.

The thinking there is, perhaps, that people in the U.S. and Europe are using those studies to place blame on the Chinese government. China has been working overtime to convince people that questioning the origin of the disease is racist.

*The Washington Post* story today brings the possibility of a lab leak into the mainstream. It moves the needle on getting a clearer handle on the origin of the virus, and that could eventually lead to more cooperation between the U.S. and China in making sure this does not happen again.

## 7 Of The Best Gaming Chairs For The Serious Gamer





## [Shopping](#)

*I write about technology and video games for Forbes Finds.*

Forbes and/or the author may earn a commission on sales made from links on this page.

If you've been playing video games all this time without cushioning yourself within the comforting confines of a bespoke gaming chair, you're missing out. Gaming chairs are designed to offer a supportive and cozy experience while looking right at home alongside your gaming PC or console.

With gaming chairs, you'll find seats that are typically comfortable, look good and offer a variety of color and material options. Maintaining a good posture while sitting for long periods is of paramount importance, and these chairs will help you do just that.

The following were selected as some of the best gaming chairs due to their build quality, support and comfort, as well as style, looks and any additional features. They are also all reasonably priced for what they offer.

## **Vertagear Racing Series S-Line SL4000 Gaming Chair Black/Blue Edition**







Walmart

## **Vertagear Racing Series S-Line SL4000 Gaming Chair Black/Blue Edition**

**450**

The Vertagear S-Line SL4000 is built for comfort. The chair has supportive padding, which is perfect for gamers who want to game for multiple hours in a single session. The chair is easy to assemble too — one person can put it together within 30 minutes or so.

On the bottom of the chair, there are custom Penta RS1 casters, which are coated with PU for a soft and smooth gliding experience on the chair, so moving around shouldn't feel bumpy.

The chair is a little expensive depending on the color you get, but it's still a great choice and should create an awesome gaming experience.

## **Noblechairs Epic Gaming Chair**



Amazon

## Noblechairs Epic Gaming Chair

419

The Noblechairs Epic is an excellent gaming chair that comes in your choice of

PU leather, NAPPA leather or real leather. It has air gaps at the top to improve airflow to help keep you cool and is built with ergonomics in mind, so you can sit more comfortably. In fact, Noblechairs said that the chairs will conform to the shape of your back and has obtained international certifications for the design.

Like the Secret Lab Omega, the Noblechairs Epic has a tilting mechanism that will allow you to lock it into place wherever you see fit. That allows you to obtain the perfect recline while you're playing games and dramatically enhances the broader experience. It even comes with what Noblechairs calls 4D armrests that let you adjust their height, depth, width and angle to maximize comfort.

## **Secretlab Omega 2020 Prime 2.0 PU Leather LCS Gaming Chair**



Amazon

# Secretlab Omega 2020 Prime 2.0 PU Leather LCS Gaming Chair

350

If you like your gaming chair to look a little more refined, a little less colorful and more demure, then the SecretLab Omega is a great choice. Not only is it competitively priced, but it offers heavy discounts if you shop directly, whether you opt for the more affordable PU leather, fabric covering or even its more premium leather option, though that does come at an added cost.

Updated in 2020, the Omega is the mid-size option that SecretLab offers, fitting everyone up to and below 5'11. There are larger and smaller offerings for those who fall outside the standard height and weight range though, with all shapes and sizes catered to.

Whichever size you opt for, you'll be able to enjoy the Omega's built-in lumbar support (no pillow required), durable armrests and even a gel-lined neck pillow to help keep you cool during the most intense of gaming sessions.

## GTRACING Gaming Chair Racing Chair





Amazon

## GTRACING Gaming Chair Racing Chair

## 156

It might not have the catchiest of names, but the GTRacing Pro GTF88 is an excellent gaming chair at an even more excellent price. Reduced to under \$150 at the time of writing, it's supremely affordable when compared with some of its contemporaries, and though it doesn't have the most high-end of feature sets, it's still a great gaming chair that will both support and comfort you no matter what game you're playing and for how long.

With a sturdy metal frame and ergonomic design, your back, shoulders and arms are all well supported, making sure that you don't develop poor posture habits, the bane of any gamer. That includes pillows for lumbar support and headrest, each of which — and the chair itself — are packed with high-density foam for a superior seating experience.

You can also customize the chair to your heart's desire, with options for swive reclining, rocking and height adjustment. Even the armrests can be rotated and height adjusted.

Available in a variety of colors and coated in 100 percent Grade A PU leather this racing-inspired seat will be a great addition to your gaming arsenal at an affordable price.

## **Corsair CF-9010029-WW T3 RUSH Gaming Chair**





Newegg

## **Corsair CF-9010029-WW T3 RUSH Gaming Chair**

**424**

Corsair might be most well known for starting the RGB revolution on PC components, but it also makes fantastic gaming chairs; particularly of the mesh fabric kind. Its T3 Rush is the latest generation of gaming chair from the component company and it's only improved on what came before.

Designed to help alleviate heat buildup that is all too commonplace on some gaming chairs (particularly with PU leather) the T3 Rush is covered entirely in soft fabric that makes it breathable, comfortable and soft to the touch.

With included neck cushion and memory foam lumbar support, the T3 Rush sacrifices nothing in its goal to improve comfort and support. Supremely adjustable, you can change the angle of the seat until it's practically a bed, sit straight up, tweak the height and even adjust the orientation of the armrests through four dimensions to make your T3 look and feel exactly how you like it

## **Arozzi Verona Junior Gaming Chair for Kids**



Amazon

# Arozzi Verona Junior Gaming Chair for Kids

249

Not everyone is as hulking as their gaming avatars, and not everyone who needs a gaming chair is an adult. The Arozzi Verona Junior gaming chair is designed for growing gamers and those with a smaller than average physical footprint, with a maximum weight of just 130lbs. But by catering to such a niche, it offers a fantastic experience specifically tailored to that body type.

Ergonomically designed for a healthy posture, the Verona Junior enjoys both lumbar and headrest pillows, as well as armrests that can be tweaked to the exact position you need them to be in. You can rotate them, or adjust them up and down, though there are no lateral movement options.

Available in a variety of color options and with a comfortable, easy-to-clean pleather exterior, the Verona Junior is a fantastic gaming chair for a growing gamer or someone with a slighter build.

## Nitro Concepts S300 EX Gaming Chair



Amazon

## **NITRO CONCEPTS S300 EX Gaming Chair**

### **300**

Designed to be its most comfortable gaming chair yet, Nitro Concepts' S300

EX builds on its already sterling pedigree for gaming chair production, with a few new additions. Integrating its new Health Enhancing Adjustment Technology, or H.E.A.T., it leverages lumbar and head support pillows for individual adjustment to the unique contours of your body. They're backed up by cooling holes in the neck-rest, making sure that even with the nylon seat-coating, you'll never get too hot during intense play.

They're built atop a steel frame for additional support, which can be leaned back, rocked, height adjusted and rotated, while the armrests can move up, down, forward and backwards, letting you make this gaming chair just right for your particular seating habits. It's also available in four stylish color options, each with color matching stitching and attractive accents.

Don't want something gaudy? Nitro Concepts has you covered too. The Stealth color option makes everything black, letting your gaming chair blend into the background so you can focus on your game and not look like a stereotypical "gamer" while doing it. You might even be able to swing it as an office chair upgrade.



I'm a freelance technology, video game, and entertainment journalist. I've been writing about the world of technology, video games, and entertainment for the last decade.

...



# The Trail Leading Back to the Wuhan Labs

[Jim Geraghty](#) April 3, 2020 1520 PM



Medical workers in protective suits attend to a patient inside an isolated ward of the Wuhan Red Cross Hospital in Wuhan, the epicenter of the novel coronavirus outbreak, in Hubei Province, China, February 16, 2020. (China Daily via Reuters)

**There's no proof the coronavirus accidentally escaped from a laboratory but we can't take the Chinese government's denials at face value.**

NRPLUS MEMBER  
ARTICLE

It is understandable that many would be wary of the notion that the origin of the coronavirus could be discovered by some [documentary filmmaker](#) who used to live in China. Matthew Tye, who creates YouTube videos [contends he has identified the source of the coronavirus](#) and a great deal of the information that he presents, obtained from public records posted on the

Internet, checks out.

[The Wuhan Institute of Virology in China indeed posted a job opening](#) November 18, 2019, “asking for scientists to come research the relationship between the coronavirus and bats.”



The [Google translation of the job posting](#): “Taking bats as the research object, I will answer the molecular mechanism that can coexist with Ebola and SARS- associated coronavirus for a long time without disease, and its relationship with flight and longevity. Virology, immunology, cell biology, and multiple omics are used to compare the differences between humans and other mammals.” (“Omics” is a term for a subfield within biology, such as genomics or glycomics.)

**PI Introduction:**

Peng Zhou, Ph.D., Researcher, Wuhan Institute of Virology, Chinese Academy of Sciences, and Leader of Bat Virus Infection and Immunization. He received his PhD in Wuhan Virus Research Institute in 2010 and has worked on bat virus and immunology in Australia and Singapore. In 2009, he took the lead in starting the research on the immune mechanism of bat long-term carrying and transmitting virus in the world. So far, he has published more than 30 SCI articles, including the first and corresponding author's Nature, Cell Host Microbe and PNAS. At present, research on bat virus and immunology is continuing, and it has received support from the National Excellent Youth Fund, the Pilot Project of the Chinese Academy of Sciences, and the Major Project of the Ministry of Science and Technology.

**The main research directions of the research group:**

Taking bats as the research object, I will answer the molecular mechanism that can coexist with Ebola and SARS-associated corona virus for a long time without disease, and its relationship with flight and longevity. Virology, immunology, cell biology, and multiple omics are used to compare the differences between humans and other mammals.

On December 24, 2019, the Wuhan Institute of Virology [posted a second job posting](#). The translation of that posting includes the declaration, “long-term research on the pathogenic biology of bats carrying important viruses has confirmed the origin of bats of major new human and livestock infectious diseases such as SARS and SADS, and a large number of new bat and rodent new viruses have been discovered and identified.”

**PI Introduction**

Zhengli Shi, Ph.D., Researcher, Leader of Emerging Virus Group, Wuhan Institute of Virology, Chinese Academy of Sciences, Director of Emerging Infectious Disease Research Center of Wuhan Institute of Virology, Chinese Academy of Sciences, Editor-in-Chief, Virologica Sinica. Long-term research on the pathogenic biology of bats carrying important viruses has confirmed the origin of bats of major new human and livestock infectious diseases such as SARS and SADS, and a large number of new bat and rodent new viruses have been discovered and identified. So far in Nature, Science, Nat Rev Microbiol, the Cell Host Microbe, Nat Microbiol, PLoS Pathog and other SCI papers published journals 110 over papers, 2014 onwards for five consecutive years was selected Elsevier "China highly cited scholars' list (Immunology and Microbiology). Has won the "advanced worker" of the Chinese Academy of Sciences, the "May 1 Labor Medal", Hubei Province has outstanding contributions to young and middle-aged experts, Chinese Academy of Sciences "Excellent Graduate Instructor", French Palm Education Knight Medal and other honors. As the first person to complete the research on "Chinese bat carrying important viruses", he won the first prize of the 2017 Hubei Natural Science Award and the second prize of the 2018 National Natural Science Award. Elected to the American Academy of Microbiology in 2019.

Tye contends that that posting meant, “we’ve discovered a new and terrible virus, and would like to recruit people to come deal with it.” He also contends that “news didn’t come out about coronavirus until ages after that.” Doctors in

Wuhan [knew that they were dealing with a cluster of pneumonia cases as December progressed](#), but it is accurate to say that a very limited number of people knew about this particular strain of coronavirus and its severity at the time of that job posting. By December 31, about three weeks after doctors first noticed the cases, the Chinese government notified the World Health Organization and the [first media reports](#) about a “mystery pneumonia” appeared outside China.

*Scientific American* [verifies much of the information](#) <sup>1</sup>He mentions about Shi Zhengli, the Chinese virologist nicknamed “Bat Woman” for her work with that species.

Shi — a virologist who is often called China’s “bat woman” by her colleagues because of her virus-hunting expeditions in bat caves over the past 16 years — walked out of the conference she was attending in Shanghai and hopped on the next train back to Wuhan. “I wondered if [the municipal health authority] got it wrong,” she says. “I had never expected this kind of thing to happen in Wuhan, in central China.” Her studies had shown that the southern, subtropical areas of Guangdong, Guangxi and Yunnan have the greatest risk of coronaviruses jumping to humans from animals — *particularly bats, a known reservoir for many viruses. If coronaviruses were the culprit, she remembers thinking, “could they have come from our lab?”*

... By January 7 the Wuhan team determined that the new virus had indeed caused the disease those patients suffered — a conclusion based on results from polymerase chain reaction analysis, full genome sequencing, antibody tests of blood samples and the virus’s ability to infect human lung cells in a petri dish. The genomic sequence of the virus — now officially called SARS-CoV-2 because it is related to the SARS pathogen — was 96 percent identical to that of a coronavirus the researchers had identified in



horseshoe bats in Yunnan, they reported in [paper](#) published last month in *Nature*. “It’s crystal clear that bats, once again, are the natural reservoir,” says Daszak, who was not involved in the study.

Some scientists aren’t convinced that the virus jumped straight from bats to human beings, but [there are a few problems with the theory that some other animal was an intermediate transmitter of COVID-19](#) from bats to humans:

Analyses of the SARS-CoV-2 genome indicate a single spillover event, meaning the virus jumped only once from an animal to a person, which makes it likely that the virus was circulating among people before December. Unless more information about the animals at the Wuhan market is released, the transmission chain may never be clear. There are, however, numerous possibilities. A bat hunter or a wildlife trafficker might have brought the virus to the market. Pangolins happen to carry a coronavirus, which they might have picked up from bats years ago, and which is, in one crucial part of its genome, virtually identical to SARS-CoV-2. But no one has yet found evidence that pangolins were at the Wuhan market, or even that vendors there trafficked pangolins.

On February 4 — one week before the World Health Organization [decided to officially name this virus “COVID-19”](#) — [the journal Cell Research](#) posted a notice written by scientists at the Wuhan Institute of Virology about the virus, concluding, “our findings reveal that remdesivir and chloroquine are highly effective in the control of 2019-nCoV infection in vitro. Since these compounds have been used in human patients with a safety track record and shown to be effective against various ailments, we suggest that they should be assessed in human patients suffering from the novel coronavirus disease.” One of the authors of that notice was the “bat woman,” Shi Zhengli.

In his YouTube video, Tye focuses his attention on [a researcher at the Wuhan](#)

[Institute of Virology](#) named Huang Yanling: “Most people believe her to be patient zero, and most people believe she is dead.”

There was enough discussion of rumors about Huang Yanling online in China to [spur an official denial](#). On February 16, the Wuhan Institute of Virology denied that patient zero was one of their employees, and interestingly named her specifically: “Recently there has been fake information about Huang Yanling, a graduate from our institute, claiming that she was patient zero in the novel coronavirus.” [Press accounts quote the institute as saying](#), “Huang was a graduate student at the institute until 2015, when she left the province and had not returned since. Huang was in good health and had not been diagnosed with disease, it added.” None of her publicly available [research papers](#) are dated after 2015.



The [web page for the Wuhan Institute of Virology's Lab of Diagnostic Microbiology](#) does indeed still have “Huang Yanling” listed as a 2012 graduate student, and her picture and biography appear to have been recently removed — as have those of two other graduate students from 2013, Wang Mengyue and Wei Cuihua.

|                                                                                   |                                                                                   |                                                                                     |
|-----------------------------------------------------------------------------------|-----------------------------------------------------------------------------------|-------------------------------------------------------------------------------------|
|  |  |  |
| <a href="#">Hu Yuanyuan, 2011 PhD student</a>                                     | <a href="#">Li Heng, 2011 PhD student</a>                                         | <a href="#">Qiao Jinjuan, 2012 PhD student</a>                                      |
|  |  |                                                                                     |
| <a href="#">Zhang Yun 2011 Graduate Student</a>                                   | <a href="#">Wang Jing 2012 Graduate Student</a>                                   | <a href="#">Huang Yanling, 2012 graduate student</a>                                |

Her name still has a hyperlink [but the linked page is blank](#). The pages for Wang Mengyue and Wei Cuihua are blank as well.



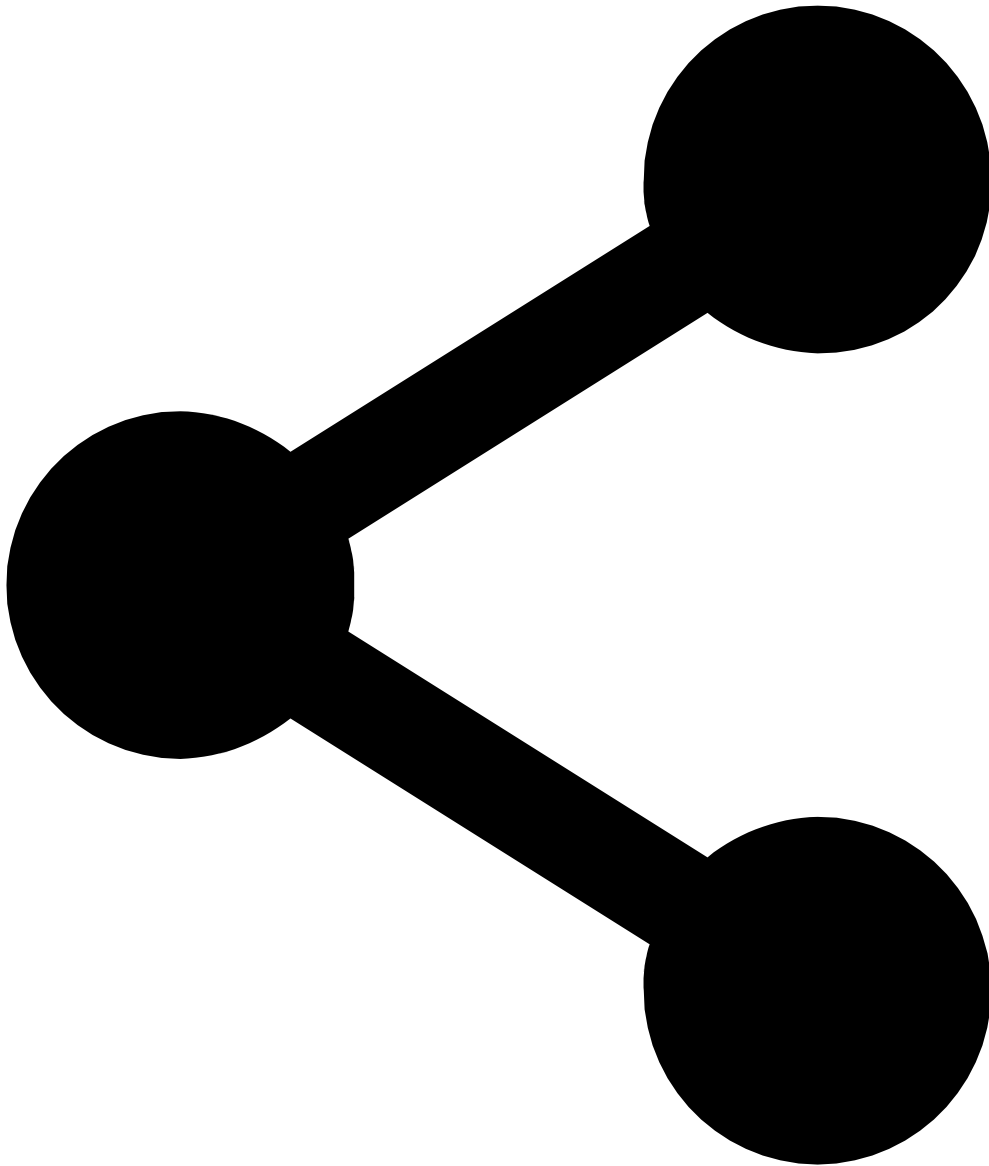
(For what it is worth, the *South China Morning Post*— a newspaper seen [as being generally pro-Beijing](#)— [reported on March 13](#) that “according to the

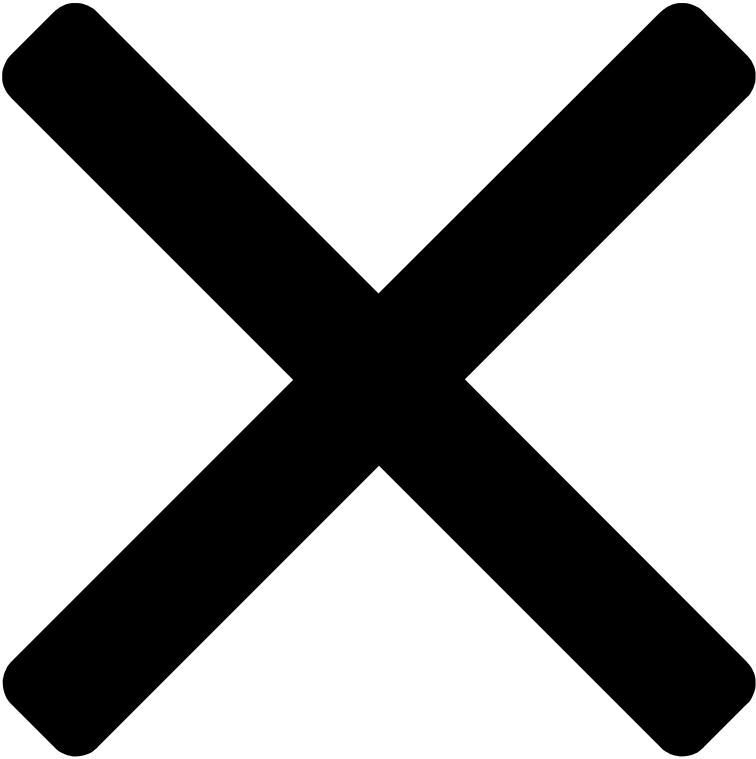
government data seen by the Post, a 55 year-old from Hubei province could have been the first person to have contracted Covid-19 on November 17.”)

On February 17, Zhen Shuji, a Hong Kong correspondent [from the French public-radio service Radio France Internationale, reported](#) when a reporter from the Beijing News of the Mainland asked the institute for rumors about patient zero, the institute first denied that there was a researcher Huang Yanling, but after learning that the name of the person on the Internet did exist, acknowledged that the person had worked at the firm but has now left the office and is unaccounted for.”

**NOW WATCH:** 'Health Officials Warn There Is No Proof Coronavirus Is Impacted By Spring And Summer Weather'







<https://www.nationalreview.com/2020/04/coronavirus-m/2020/04/coronavirus->

Tye says, “everyone on the Chinese internet is searching for [Huang Yanling] but most believe that her body was quickly cremated and the people working at the crematorium were perhaps infected as they were not given any information about the virus.” (The U.S. Centers for Disease Control and

Prevention says that [handling the body of someone who has died of coronavirus is safe](#)— including embalming and cremation — as long as the standard safety protocols for handling a decedent are used. It's anyone's guess as to whether those safety protocols were sufficiently used in China before the outbreak's scope was known.)

As Tye observes, a public appearance by Huang Yanling would dispel a lot of the public rumors, and is the sort of thing the Chinese government would quickly arrange in normal circumstances — presuming that Huang Yanling was still alive. Several officials at the Wuhan Institute of Virology issued public statements that Huang was in good health and that no one at the institute has been infected with COVID-19. In any case, the mystery around Huang Yanling may be moot, but it does point to the lab covering up something about her.

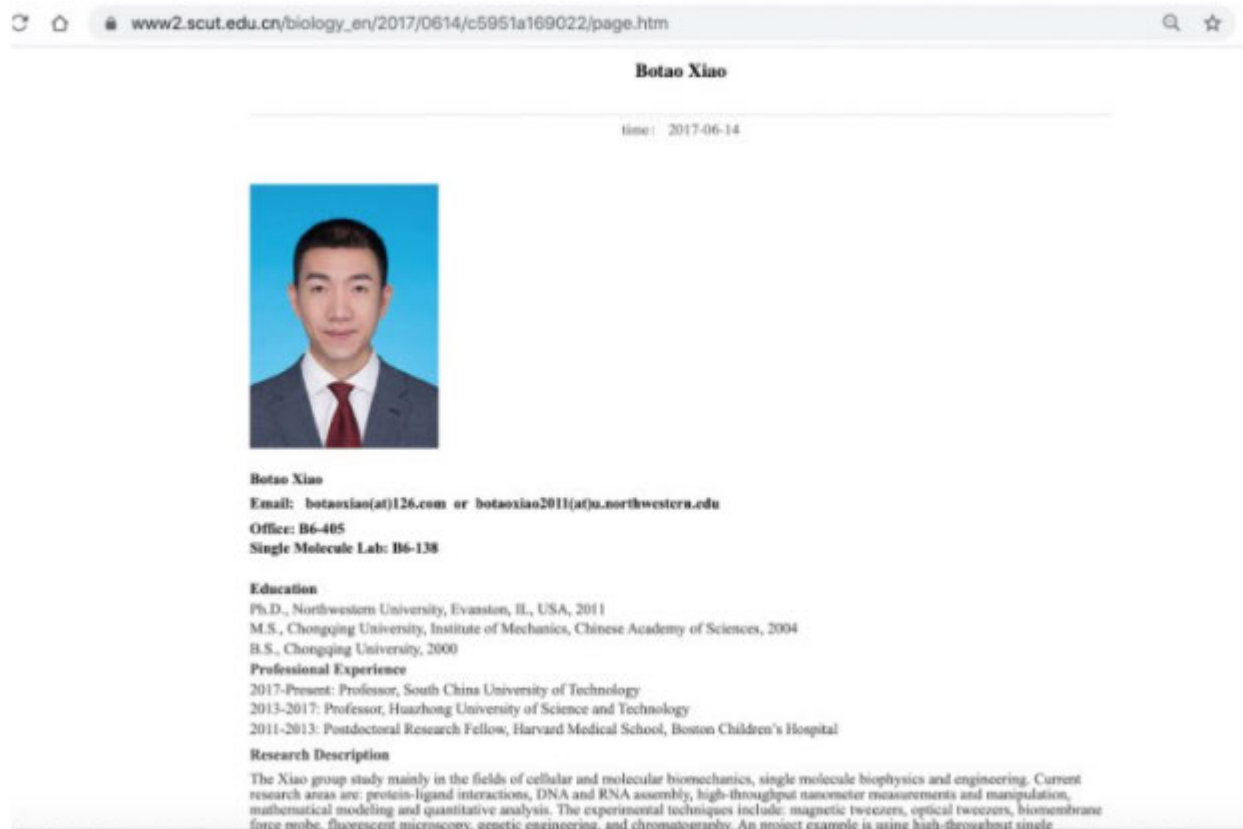
China Global Television Network, a state-owned television broadcaster, [illuminated another rumor](#) while attempting to dispel it in a February 23 report entitled “Rumors Stop With the Wise”:

On February 17, a Weibo user who claimed herself to be Chen Quanjiao, a researcher at the Wuhan Institute of Virology, reported to the public that the Director of the Institute was responsible for leaking the novel coronavirus. The Weibo post threw a bomb in the cyberspace and the public was shocked. Soon Chen herself stepped out and declared that she had never released any report information and expressed great indignation at such identity fraud on Weibo. It has been confirmed that that particular Weibo account had been shut down several times due to the spread of misinformation about COVID-19.

That Radio France Internationale report on February 17 also mentioned the next key part of the Tye's YouTube video. “Xiaobo Tao, a scholar from South China University of Technology, recently published a report that researchers a

Wuhan Virus Laboratory were splashed with bat blood and urine, and then quarantined for 14 days.” HK01, another Hong Kong-based news site, [reported the same claim](#).

This doctor’s name is spelled in English as both “Xiaobo Tao” and “Botao Xiao.” From 2011 to 2013, Botao Xiao was [a postdoctoral research fellow at Harvard Medical School and Boston Children’s Hospital](#), and his [biography is still on the web site of the South China University of Technology](#).



At some point in February, Botao Xiao posted a research paper onto ResearchGate.net, [The Possible Origins of 2019-nCoV coronavirus](#). He is listed as one author, along with Lei Xiao from Tian You Hospital, which is [affiliated with the Wuhan University of Science and Technology](#). The paper was removed a short time after it was posted, but archived images of its pages can be found [here](#) and [here](#).

The first conclusion of Botao Xiao's paper is that the bats suspected of carrying the virus are extremely unlikely to be found naturally in the city, and despite the stories of "bat soup," they conclude that bats were not sold at the market and were unlikely to be deliberately ingested.

The bats carrying CoV ZC45 were originally found in Yunnan or Zhejiang province, both of which were more than 900 kilometers away from the seafood market. Bats were normally found to live in caves and trees. But the seafood market is in a densely-populated district of Wuhan, a metropolitan [area] of ~15 million people. The probability was very low for the bats to fly to the market. According to municipal reports and the testimonies of 31 residents and 28 visitors, the bat was never a food source in the city, and no bat was traded in the market.

The U.S. Centers for Disease Control and Prevention and the World Health Organization [could not confirm](#) if bats were present at the market. Botao Xiao's paper theorizes that the coronavirus originated from bats being used for research at either one of two research laboratories in Wuhan.

We screened the area around the seafood market and identified two laboratories conducting research on bat coronavirus. Within ~ 280 meters from the market, there was the Wuhan Center for Disease Control & Prevention. WHCDC hosted animals in laboratories for research purpose, one of which was specialized in pathogens collection and identification. In one of their studies, 155 bats including *Rhinolophus affinis* were captured in Hubei province, and other 450 bats were captured in Zhejiang province. The expert in Collection was noted in the Author Contributions (JHT). Moreover, he was broadcasted for collecting viruses on nation-wide newspapers and websites in 2017 and 2019. He described that he was once by attacked by bats and the blood of a bat shot on his skin. He knew the extreme danger of the infection so he quarantined himself for 14 days.

In another accident, he quarantined himself again because bats peed on him.

Surgery was performed on the caged animals and the tissue samples were collected for DNA and RNA extraction and sequencing. The tissue samples and contaminated trashes were source of pathogens. They were only ~280 meters from the seafood market. The WHCDC was also adjacent to the Union Hospital (Figure 1, bottom) where the first group of doctors were infected during this epidemic. It is plausible that the virus leaked around and some of them contaminated the initial patients in this epidemic, though solid proofs are needed in future study.

The second laboratory was ~12 kilometers from the seafood market and belonged to Wuhan Institute of Virology, Chinese Academy of Sciences . . .

In summary, somebody was entangled with the evolution of 2019-nCoV coronavirus. In addition to origins of natural recombination and intermediate host, the killer coronavirus probably originated from a laboratory in Wuhan. Safety level may need to be reinforced in high risk biohazardous laboratories. Regulations may be taken to relocate these laboratories far away from city center and other densely populated places.

However, Xiao has [told the \*Wall Street Journal\* that he has withdrawn his paper](#). “The speculation about the possible origins in the post was based on published papers and media, and was not supported by direct proofs,” he said in a brief email on February 26.

The bat researcher that Xiao’s report refers to is virologist Tian Junhua, who works at the Wuhan Centre for Disease Control. In 2004, the World Health Organization determined that an outbreak of the SARS virus had been caused by two separate leaks at the Chinese Institute of Virology in Beijing. The Chinese government said that the leaks were a result of “negligence” and the

responsible officials had been punished.

In 2017, the Chinese state-owned Shanghai Media Group made [seven-minute documentary](#) about Tian Junhua, entitled “Youth in the Wild: Invisible Defender.” Videographers followed Tian Junhua as he traveled deep into caves to collect bats. “Among all known creatures, the bats are rich with various viruses inside,” he says in Chinese. “You can find most viruses responsible for human diseases, like rabies virus, SARS, and Ebola. Accordingly, the caves frequented by bats became our main battlefields.” He emphasizes, “bats usually live in caves humans can hardly reach. Only in these places can we find the most ideal virus vector samples.”

One of his last statements on the video is: “In the past ten-plus years, we have visited every corner of Hubei Province. We explored dozens of undeveloped caves and studied more than 300 types of virus vectors. But I do hope these virus samples will only be preserved for scientific research and will never be used in real life. Because humans need not only the vaccines, but also the protection from the nature.”

The description of Tian Junhua’s self-isolation came from a May 2017 report by Xinhua News Agency, [repeated by the Chinese news site JQKNews.com](#)

The environment for collecting bat samples is extremely bad. There is a stench in the bat cave. Bats carry a large number of viruses in their bodies. If they are not careful, they are at risk of infection. But Tian Junhua is not afraid to go to the mountain with his wife to catch Batman.

Tian Junhua summed up the experience that the most bats can be caught by using the sky cannon and pulling the net. But in the process of operation, Tian Junhua forgot to take protective measures. Bat urine dripped on him like raindrops from the top. If he was infected, he could not find any medicine. It was written in the report.



The wings of bats carry sharp claws. When the big bats are caught by bat tools, they can easily spray blood. Several times bat blood was sprayed directly on Tians skin, but he didn't flinch at all. After returning home, Tian Junhua took the initiative to isolate for half a month. As long as the incubation period of 14 days does not occur, he will be lucky to escape, the report said.

Bat urine and blood can [carry](#) viruses. How likely is it that bat urine or blood got onto a researcher at either Wuhan Center for Disease Control & Prevention or the Wuhan Institute of Virology? Alternatively, what are the odds that some sort of medical waste or other material from the bats was not properly disposed of, and that was the initial transmission vector to a human being?

Virologists have been [vehemently skeptical of the theory that COVID-19 was engineered or deliberately constructed in a laboratory](#), the director of the National Institutes of Health has [written](#) that recent genomic research “debunks such claims by providing scientific evidence that this novel coronavirus arose naturally.” And none of the above is definitive proof that COVID-19 originated from a bat at either the Wuhan Center for Disease Control & Prevention or the Wuhan Institute of Virology. Definitive proof would require much broader access to information about what happened in those facilities in the time period before the epidemic in the city.

But it is a remarkable coincidence that the Wuhan Institute of Virology was researching Ebola and SARS-associated coronaviruses in bats before the pandemic outbreak, and that in the month when Wuhan doctors were treating the first patients of COVID-19, the institute announced in a hiring notice that “a large number of new bat and rodent new viruses have been discovered and identified.” And the fact that the Chinese government spent six weeks insisting that COVID-19 could not be spread from person to person means that its denials about Wuhan laboratories cannot be accepted without

independent verification.



[Jim Geraghty](#) is the senior political correspondent of *National Review* [@jimmeraghty](#)

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# **The possible origins of 2019-nCoV coronavirus**

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The 2019-nCoV coronavirus has caused an epidemic of 28,060 laboratory-confirmed infections in human including 564 deaths in China by February 6, 2020. Two descriptions of the virus published on Nature this week indicated that the genome sequences from patients were 96% or 89% identical to the Bat CoV ZC45 coronavirus originally found in *Rhinolophus affinis*<sup>1,2</sup>. It was critical to study where the pathogen came from and how it passed onto human.

An article published on The Lancet reported that 41 people in Wuhan were found to have the acute respiratory syndrome and 27 of them had contact with Huanan Seafood Market<sup>3</sup>. The 2019-nCoV was found in 33 out of 585 samples collected in the market after the outbreak. The market was suspicious to be the origin of the epidemic, and was shut down according to the rule of quarantine the source during an epidemic.

The bats carrying CoV ZC45 were originally found in Yunnan or Zhejiang province, both of which were more than 900 kilometers away from the seafood market. Bats were normally found to live in caves and trees. But the seafood market is in a densely-populated district of Wuhan, a metropolitan of ~15 million people. The probability was very low for the bats to fly to the market. According to municipal reports and the testimonies of 31 residents and 28 visitors, the bat was never a food source in the city, and no bat was traded in the market. There was possible natural recombination or intermediate host of the coronavirus, yet little proof has been reported.

Was there any other possible pathway? We screened the area around the seafood market and identified two laboratories conducting research on bat coronavirus. Within ~280 meters from the market, there was the Wuhan Center for Disease Control & Prevention (WHCDC) (Figure 1, from Baidu and Google maps). WHCDC hosted an imals in laboratories for research purpose, one of which was specialized in pathogens collection and identification<sup>4-6</sup>. In one of their studies, 155 bats including *Rhinolophus affinis* were captured in Hubei province, and other 450 bats were captured in Zhejiang province<sup>4</sup>. The expert in collection was noted in the Author Contributions (JHT). Moreover, he was broadcasted for collecting viruses on nation-wide newspapers and websites in 2017 and 2019<sup>7,8</sup>. He described that he was once by attacked by bats and the blood of a bat shot on his skin. He knew the extreme danger of the infection so he quarantined himself for 14 days<sup>7</sup>. In another accident, he quarantined himself again because bats peed on him. He was once thrilled for capturing a bat carrying a live tick<sup>8</sup>.

Surgery was performed on the caged animals and the tissue samples were collected for DNA and RNA extraction and sequencing<sup>4,5</sup>. The tissue samples and contaminated trashes were source of pathogens. They were only ~280 meters from the seafood market. The WHCDC was also adjacent to the Union Hospital (Figure 1, bottom) where the first group of doctors were infected during this epidemic. It is plausible that the virus leaked around and some of them contaminated the initial patients in this epidemic, though solid proofs are needed in future study.

The second laboratory was ~12 kilometers from the seafood market and belonged to Wuhan Institute of Virology, Chinese Academy of Sciences<sup>1,9,10</sup>. This laboratory reported that the Chinese horseshoe bats were natural reservoirs for the severe acute respiratory syndrome coronavirus (SARS-CoV) which caused the 2002-3 pandemic<sup>9</sup>. The principle investigator participated in a project which generated a chimeric virus using

the SARS-CoV reverse genetics system, and reported the potential for human emergence<sup>10</sup>. A direct speculation was that SARS-CoV or its derivative might leak from the laboratory.

In summary, somebody was entangled with the evolution of 2019-nCoV coronavirus. In addition to origins of natural recombination and intermediate host, the killer coronavirus probably originated from a laboratory in Wuhan. Safety level may need to be reinforced in high risk biohazardous laboratories. Regulations may be taken to relocate these laboratories far away from city center and other densely populated places.

### Contributors

BX designed the comment and performed literature search. All authors performed data acquisition and analysis, collected documents, draw the figure, and wrote the papers.

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### Declaration of interests

All authors declare no competing interests.

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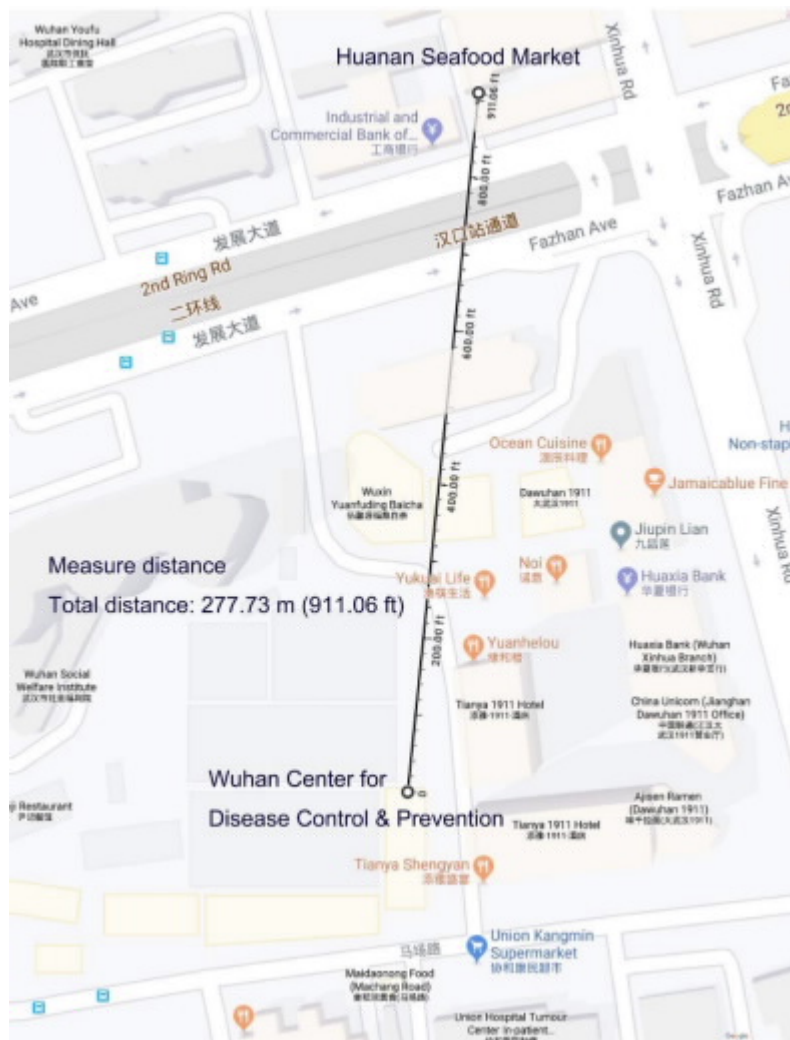


Figure 1. The Huanan Seafood Market is close to the WHCDC (from Baidu and Google maps).



# Clinical features of patients infected with 2019 novel coronavirus in Wuhan, China



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## Summary

**Background** A recent cluster of pneumonia cases in Wuhan, China, was caused by a novel betacoronavirus, the 2019 novel coronavirus (2019-nCoV). We report the epidemiological, clinical, laboratory, and radiological characteristics and treatment and clinical outcomes of these patients. *Lancet* 2020; 395: 497–506

**Methods** All patients with suspected 2019-nCoV were admitted to a designated hospital in Wuhan. We prospectively collected and analysed data on patients with laboratory-confirmed 2019-nCoV infection by real-time RT-PCR and next-generation sequencing. Data were obtained with standardised data collection forms shared by WHO and the International Severe Acute Respiratory and Emerging Infection Consortium from electronic medical records. Researchers also directly communicated with patients or their families to ascertain epidemiological and symptom data. Outcomes were also compared between patients who had been admitted to the intensive care unit (ICU) and those who had not.

**Finding** By Jan 2, 2020, 41 admitted hospital patients had been identified as having laboratory-confirmed 2019-nCoV infection. Most of the infected patients were men (30 [73%] of 41); less than half had underlying disease (13 [32%]), including diabetes (eight [20%]), hypertension (six [15%]), and cardiovascular disease (six [15%]). Median age was 49·0 years (IQR 41·0–58·0). 27 (66%) of 41 patients had been exposed to Huanan seafood market. One family cluster was found. Common symptoms at onset of illness were fever (40 [98%] of 41 patients), cough (31 [76%]), and myalgia or fatigue (18 [44%]); less common symptoms were sputum production (11 [28%] of 39), headache (three [8%] of 38), haemoptysis (two [5%] of 39), and diarrhoea (one [3%] of 38). Dyspnoea developed in 22 (55%) of 40 patients (median time from illness onset to dyspnoea 8·0 days [IQR 5·0–13·0]). 26 (63%) of 41 patients had lymphopenia. All 41 patients had pneumonia with abnormal findings on chest CT. Complications included acute respiratory distress syndrome (12 [29%]), RNAemia (six [15%]), acute cardiac injury (five [12%]) and secondary infection (four [10%]). 13 (32%) patients were admitted to an ICU and six (15%) died. Compared with non-ICU patients, ICU patients had higher plasma levels of IL2, IL7, IL10, GSCF, IP10, MCP1, MIP1A, and TNFα.

**Interpretation** The 2019-nCoV infection caused clusters of severe respiratory illness similar to severe acute respiratory syndrome coronavirus and was associated with ICU admission and high mortality. Major gaps in our knowledge of the origin, epidemiology, duration of human transmission, and clinical spectrum of disease need fulfilment by future studies.

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## Introduction

Coronaviruses are enveloped non-segmented positive-sense RNA viruses belonging to the family Coronaviridae and the order Nidovirales and broadly distributed in humans and other mammals.<sup>1</sup> Although most human coronavirus infections are mild, the epidemics of the two betacoronaviruses, severe acute respiratory syndrome coronavirus (SARS-CoV)<sup>2</sup> and Middle East respiratory syndrome coronavirus (MERS-CoV),<sup>3</sup> have caused more than 10 000 cumulative cases in the past two decades, with mortality rates of 10% for SARS-CoV and 37% for MERS-CoV.<sup>4</sup> The coronaviruses already identified might only be the tip of the iceberg, with

potentially more novel and severe zoonotic events to be revealed.

In December, 2019, a series of pneumonia cases of unknown cause emerged in Wuhan, Hubei, China, with clinical presentations greatly resembling viral pneumonia.<sup>5</sup> Deep sequencing analysis from lower respiratory tract samples indicated a novel coronavirus, which was named 2019 novel coronavirus (2019-nCoV). Thus far, more than 800 confirmed cases, including in health-care workers, have been identified in Wuhan, and several exported cases have been confirmed in other provinces in China, and in Thailand, Japan, South Korea, and the USA.<sup>6–13</sup>

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## Research in context

### Evidence before this study

Human coronaviruses, including hCoV-229E, OC43, NL63, and HKU1, cause mild respiratory diseases. Fatal coronaviruses infections that have emerged in the past two decades are severe acute respiratory syndrome coronavirus (SARS-CoV) and Middle East respiratory syndrome coronavirus. We searched PubMed and the China National Knowledge Infrastructure database for articles published up to Jan 11, 2020, using the keywords “novel coronavirus”, “2019 novel coronavirus”, or “2019-nCoV”. No published work about the human infection caused by the 2019 novel coronavirus (2019-nCoV) could be identified.

### Added value of this study

We report the epidemiological, clinical, laboratory, and radiological characteristics, treatment, and clinical outcomes of 41 laboratory-confirmed cases infected with 2019-nCoV. 27 (66%) of 41 patients had a history of direct exposure to the Huanan seafood market. The median age of patients was 49.5 years (IQR 41.0–58.0), and 13 (32%) patients had underlying disease. All patients had pneumonia. A third of patients were admitted to intensive care units, and six had concentrations of cytokines were recorded in plasma of critically ill patients infected with 2019-nCoV.

### Implications of all the available evidence

2019-nCoV caused clusters of fatal pneumonia with clinical presentation greatly resembling SARS-CoV. Patients infected with 2019-nCoV might develop acute respiratory distress syndrome, have a high likelihood of admission to intensive care, and might die. The cytokine storm could be associated with disease severity. More efforts should be made to know the whole spectrum and pathophysiology of the new disease.

We aim to describe epidemiological, clinical, laboratory, and radiological characteristics, treatment, and outcomes of patients confirmed to have 2019-nCoV infection, and to compare the clinical features between intensive care unit (ICU) and non-ICU patients. We hope our study findings will inform the global community of the emergence of this novel coronavirus and its clinical features.

## Methods

### Patients

Following the pneumonia cases of unknown cause reported in Wuhan and considering the shared history of exposure to Huanan seafood market across the patients, an epidemiological alert was released by the local health authority on Dec 31, 2019, and the market was shut down on Jan 1, 2020. Meanwhile, 59 suspected cases with fever and dry cough were transferred to a designated hospital starting from Dec 31, 2019. An expert team of physicians, epidemiologists, virologists, and government officials was soon formed after the alert.

Since the cause was unknown at the onset of these emerging infections, the diagnosis of pneumonia of unknown cause in Wuhan was based on clinical characteristics, chest imaging, and the ruling out of common bacterial and viral pathogens that cause pneumonia. Suspected patients were isolated using airborne precautions in the designated hospital, Jin Yin-tan Hospital (Wuhan, China), and fit-tested N95 masks and airborne precautions for aerosol-generating procedures were taken. This study was approved by the National Health Commission of China and Ethics Commission of Jin Yin-tan Hospital (KY-2020-01.01). Written informed consent was waived by the Ethics Commission of the designated hospital for emerging infectious diseases.

## Procedures

Local centres for disease control and prevention collected respiratory, blood, and faeces specimens, then shipped them to designated authoritative laboratories to detect the pathogen (NHC Key Laboratory of Systems Biology of Pathogens and Christophe Merieux Laboratory, Beijing, China). A novel coronavirus, which was named 2019-nCoV, was isolated then from lower respiratory tract specimen and a diagnostic test for this virus was developed soon after that.<sup>14</sup> Of 59 suspected cases, 41 patients were confirmed to be infected with 2019-nCoV. The presence of 2019-nCoV in respiratory specimens was detected by next-generation sequencing or real-time RT-PCR methods. The primers and probe target to envelope gene of CoV were used and the sequences were as follows: forward primer 5'-ACTTCTTTTCTTGCTTTCTGGT-3' reverse primer 5'-GCAGCAGTACGCACACAATC-3' and the probe 5'-CY5-CTAGTTACTAGCCATCCTTACTGC-3'-BHQ1. Conditions for the amplifications were 50°C for 15 min, 95°C for 3 min, followed by 45 cycles of 95°C for 15 s and 60°C for 30 s.

Initial investigations included a complete blood count, coagulation profile, and serum biochemical test (including renal and liver function, creatine kinase, lactate dehydrogenase, and electrolytes). Respiratory specimens including nasal and pharyngeal swabs, bronchoalveolar lavage fluid, sputum, or bronchial aspirates were tested for common viruses, including influenza, avian influenza, respiratory syncytial virus, adenovirus, parainfluenza virus, SARS-CoV and MERS-CoV using real-time RT-PCR assays approved by the China Food and Drug Administration. Routine bacterial and fungal examinations were also performed. Given the emergence of the 2019-nCoV pneumonia cases during the influenza season, antibiotics (orally and intravenously) and oseltamivir (orally 75 mg twice daily) were empirically administered. Corticosteroid therapy



(methylprednisolone 40–120 mg per day) was given as a combined regimen if severe community-acquired pneumonia was diagnosed by physicians at the designated hospital. Oxygen support (eg, nasal cannula and invasive mechanical ventilation) was administered to patients according to the severity of hypoxaemia. Repeated tests for 2019-nCoV were done in patients confirmed to have 2019-nCoV infection to show viral clearance before hospital discharge or discontinuation of isolation.

### Data collection

We reviewed clinical charts, nursing records, laboratory findings, and chest x-rays for all patients with laboratory-confirmed 2019-nCoV infection who were reported by the local health authority. The admission data of these patients was from Dec 16, 2019, to Jan 2, 2020. Epidemiological, clinical, laboratory, and radiological characteristics and treatment and outcomes data were obtained with standardised data collection forms (modified case record form for severe acute respiratory infection clinical characterisation shared by WHO and the International Severe Acute Respiratory and Emerging Infection Consortium) from electronic medical records. Two researchers also independently reviewed the data collection forms to double check the data collected. To ascertain the epidemiological and symptom data, which were not available from electronic medical records, the researchers also directly communicated with patients or their families to ascertain epidemiological and symptom data.

### Cytokine and chemokine measurement

To characterise the effect of coronavirus on the production of cytokines or chemokines in the acute phase of the illness, plasma cytokines and chemokines (IL1B, IL1RA, IL2, IL4, IL5, IL6, IL7, IL8 (also known as CXCL8), IL9, IL10, IL12p70, IL13, IL15, IL17A, Eotaxin (also known as CCL11), basic FGF2, GCSF (CSF3), GM-CSF (CSF2), IFN $\gamma$ , IP10 (CXCL10), MCP1 (CCL2), MIP1A (CCL3), MIP1B (CCL4), PDGFB, RANTES (CCL5), TNF $\alpha$ , and VEGFA) were measured using Human Cytokine Standard 27-Plex Assays panel and the Bio-Plex 200 system (Bio-Rad, Hercules, CA, USA) for all patients according to the manufacturer's instructions. The plasma samples from four healthy adults were used as controls for cross-comparison. The median time from being transferred to a designated hospital to the blood sample collection was 4 days (IQR 2–5).

### Detection of coronavirus in plasma

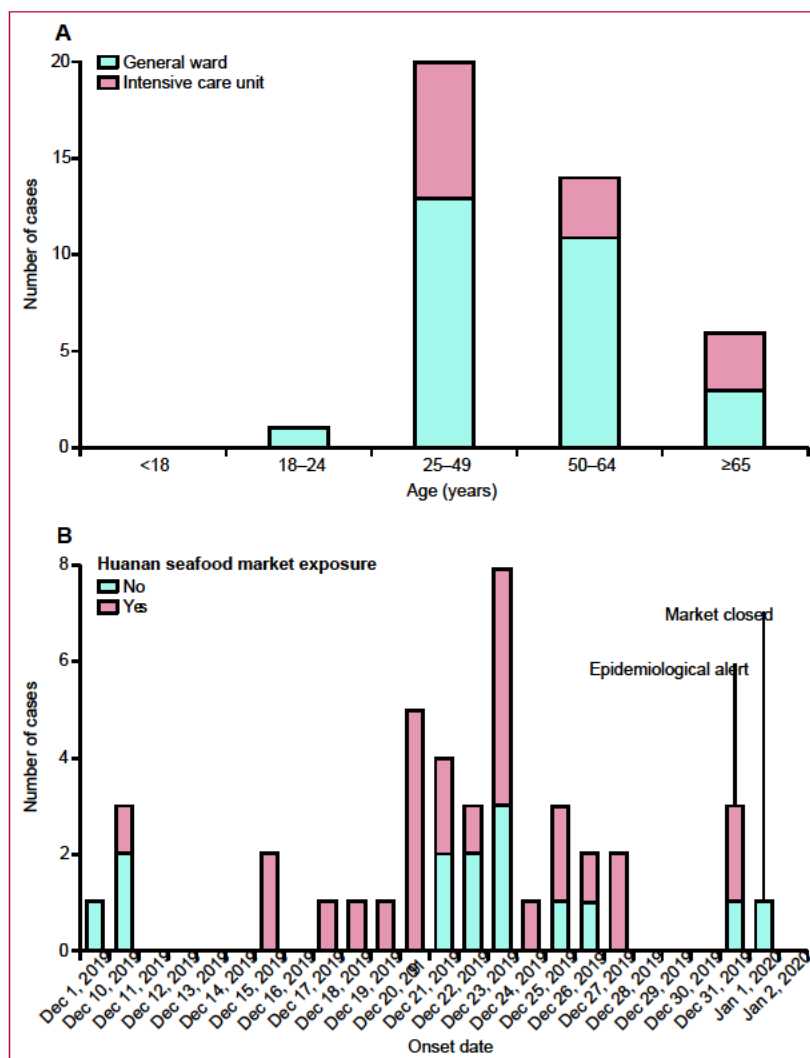
Each 80  $\mu$ L plasma sample from the patients and contacts was added into 240  $\mu$ L of Trizol LS (10296028; Thermo Fisher Scientific, Carlsbad, CA, USA) in the Biosafety Level 3 laboratory. Total RNA was extracted by Direct-zol RNA Miniprep kit (R2050; Zymo research, Irvine, CA, USA) according to the manufacturer's instructions and

50  $\mu$ L elution was obtained for each sample. 5  $\mu$ L RNA was used for real-time RT-PCR, which targeted the NP gene using AgPath-ID One-Step RT-PCR Reagent (AM1005; Thermo Fisher Scientific). The final reaction mix concentration of the primers was 500 nM and probe was 200 nM. Real-time RT-PCR was performed using the following conditions: 50°C for 15 min and 95°C for 3 min, 50 cycles of amplification at 95°C for 10 s and 60°C for 45 s. Since we did not perform tests for detecting infectious virus in blood, we avoided the term viraemia and used RNAemia instead. RNAemia was defined as a positive result for real-time RT-PCR in the plasma sample.

### Definitions

Acute respiratory distress syndrome (ARDS) and shock were defined according to the interim guidance of WHO

For the International Severe Acute Respiratory and Emerging Infection Consortium—WHO case record form for severe acute respiratory infections see <https://isaric.tghn.org/protocols/severe-acute-respiratory-infection-data-tools/>



**Figure 1: Date of illness onset and age distribution of patients with laboratory-confirmed 2019-nCoV infection** (A) Number of hospital admissions by age group. (B) Distribution of symptom onset date for laboratory-confirmed cases. The Wuhan local health authority issued an epidemiological alert on Dec 30, 2019, and closed the Huanan seafood market 2 days later.

|                                       | All patients (n=41) | ICU care (n=13)     | No ICU care (n=28)  | p value |
|---------------------------------------|---------------------|---------------------|---------------------|---------|
| Characteristics                       |                     |                     |                     |         |
| Age, years                            | 49.0 (41.0–58.0)    | 49.0 (41.0–61.0)    | 49.0 (41.0–57.5)    | 0.60    |
| Sex                                   | --                  | --                  | --                  | 0.24    |
| Men                                   | 30 (73%)            | 11 (85%)            | 19 (68%)            | --      |
| Women                                 | 11 (27%)            | 2 (15%)             | 9 (32%)             | --      |
| Huanan seafood market exposure        | 27 (66%)            | 9 (69%)             | 18 (64%)            | 0.75    |
| Current smoking                       | 3 (7%)              | 0                   | 3 (11%)             | 0.31    |
| Any comorbidity                       | 13 (32%)            | 5 (38%)             | 8 (29%)             | 0.53    |
| Diabetes                              | 8 (20%)             | 1 (8%)              | 7 (25%)             | 0.16    |
| Hypertension                          | 6 (15%)             | 2 (15%)             | 4 (14%)             | 0.93    |
| Cardiovascular disease                | 6 (15%)             | 3 (23%)             | 3 (11%)             | 0.32    |
| Chronic obstructive pulmonary disease | 1 (2%)              | 1 (8%)              | 0                   | 0.14    |
| Malignancy                            | 1 (2%)              | 0                   | 1 (4%)              | 0.49    |
| Chronic liver disease                 | 1 (2%)              | 0                   | 1 (4%)              | 0.68    |
| Signs and symptoms                    |                     |                     |                     |         |
| Fever                                 | 40 (98%)            | 13 (100%)           | 27 (96%)            | 0.68    |
| Highest temperature, °C               | --                  | --                  | --                  | 0.037   |
| <37.3                                 | 1 (2%)              | 0                   | 1 (4%)              | --      |
| 37.3–38.0                             | 8 (20%)             | 3 (23%)             | 5 (18%)             | --      |
| 38.1–39.0                             | 18 (44%)            | 7 (54%)             | 11 (39%)            | --      |
| >39.0                                 | 14 (34%)            | 3 (23%)             | 11 (39%)            | --      |
| Cough                                 | 31 (76%)            | 11 (85%)            | 20 (71%)            | 0.35    |
| Myalgia or fatigue                    | 18 (44%)            | 7 (54%)             | 11 (39%)            | 0.38    |
| Sputum production                     | 11/39 (28%)         | 5 (38%)             | 6/26 (23%)          | 0.32    |
| Headache                              | 3/38 (8%)           | 0                   | 3/25 (12%)          | 0.10    |
| Haemoptysis                           | 2/39 (5%)           | 1 (8%)              | 1/26 (4%)           | 0.46    |
| Diarrhoea                             | 1/38 (3%)           | 0                   | 1/25 (4%)           | 0.66    |
| Dyspnoea                              | 22/40 (55%)         | 12 (92%)            | 10/27 (37%)         | 0.0010  |
| Days from illness onset to dyspnoea   | 8.0 (5.0–13.0)      | 8.0 (6.0–17.0)      | 6.5 (2.0–10.0)      | 0.22    |
| Days from first admission to transfer | 5.0 (1.0–8.0)       | 8.0 (5.0–14.0)      | 1.0 (1.0–6.5)       | 0.0023  |
| Systolic pressure, mm Hg              | 125.0 (119.0–135.0) | 145.0 (123.0–167.0) | 122.0 (118.5–129.5) | 0.018   |
| Respiratory rate >24 breaths per min  | 12 (29%)            | 8 (62%)             | 4 (14%)             | 0.0023  |

Data are median (IQR), n (%), or n/N (%), where N is the total number of patients with available data. p values are from comparing ICU care and no ICU care are from  $\chi^2$  test, Fisher's exact test, or Mann-Whitney U test. 2019-nCoV=2019 novel coronavirus. ICU=intensive care unit.

**Table 1: Demographics and baseline characteristics of patients infected with 2019-nCoV**

for novel coronavirus.<sup>9</sup> Hypoxaemia was defined as arterial oxygen tension (PaO<sub>2</sub>) over inspiratory oxygen fraction (FIO<sub>2</sub>) of less than 300 mm Hg.<sup>15</sup> Acute kidney injury was identified and classified on the basis of the highest serum creatinine level or urine output criteria according to the kidney disease improving global outcomes classification.<sup>16</sup> Secondary infection was diagnosed if the patients had clinical symptoms or signs of nosocomial pneumonia or bacteraemia and was combined with a positive culture of a new pathogen from a lower respiratory tract specimen (including the sputum, transtracheal aspirates, or bronchoalveolar lavage fluid, or from blood sample taken  $\geq$  48 h

after admission).<sup>17</sup> Cardiac injury followed the definition used in our previous study in H7N9 patients.<sup>18</sup> In brief, cardiac injury was diagnosed if serum levels of cardiac biomarkers (eg, troponin I) were above the 99th percentile upper reference limit, or new abnormalities were shown in electrocardiography and echocardiography.

### Statistical analysis

Continuous variables were expressed as median (IQR) and compared with the Mann-Whitney U test; categorical variables were expressed as number (%) and compared by  $\chi^2$  test or Fisher's exact test between ICU care and no ICU care groups. Boxplots were drawn to describe plasma cytokine and chemokine concentrations.

A two-sided  $\alpha$  of less than 0·05 was considered statistically significant. Statistical analyses were done using the SAS software, version 9·4, unless otherwise indicated.

### Role of the funding source

The funder of the study had no role in study design, data collection, data analysis, data interpretation, or writing of the report. The corresponding authors had full access to all the data in the study and had final responsibility for the decision to submit for publication.

### Results

By Jan 2, 2020, 41 admitted hospital patients were identified as laboratory-confirmed 2019-nCoV infection in Wuhan. 20 [49%] of the 2019-nCoV infected patients were aged 25–49 years, and 14 (34%) were aged 50–64 years (figure 1A). The median age of the patients was 49·0 years (IQR 41·0–58·0; table 1). In our cohort of the first 41 patients as of Jan 2, no children or adolescents were infected. Of the 41 patients, 13 (32%) were admitted to the ICU because they required high-flow nasal cannula or higher-level oxygen support measures to correct hypoxaemia. Most of the infected patients were men (30 [73%]); less than half had underlying diseases (13 [32%]), including diabetes (eight [20%]), hypertension (six [15%]), and cardiovascular disease (six [15%]).

27 (66%) patients had direct exposure to Huanan seafood market (figure 1B). Market exposure was similar between the patients with ICU care (nine [69%]) and those with non-ICU care (18 [64%]). The symptom onset date of the first patient identified was Dec 1, 2019. None of his family members developed fever or any respiratory symptoms. No epidemiological link was found between the first patient and later cases. The first fatal case, who had continuous exposure to the market, was admitted to hospital because of a 7-day history of fever, cough, and dyspnoea 5 days after illness onset, his wife, a 53-year-old woman who had no known history of exposure to the market, also presented with pneumonia and was hospitalised in the isolation ward.

The most common symptoms at onset of illness were fever (40 [98%] of 41 patients), cough (31 [76%]), and myalgia or fatigue (18 [44%]); less common symptoms

were sputum production (11 [28%] of 39), headache (three [8%] of 38), haemoptysis (two [5%] of 39), and diarrhoea (one [3%] of 38; table 1). More than half of patients (22 [55%] of 40) developed dyspnoea. The median duration from illness onset to dyspnoea was 8·0 days (IQR 5·0–13·0). The median time from onset of symptoms to first hospital admission was 7·0 days (4·0–8·0), to shortness of breath was 8·0 days (5·0–13·0), to ARDS was 9·0 days (8·0–14·0), to mechanical ventilation was 10·5 days (7·0–14·0), and to ICU admission was 10·5 days (8·0–17·0; figure 2).

The blood counts of patients on admission showed leucopenia (white blood cell count less than  $4 \times 10^9/L$ ; ten [25%] of 40 patients) and lymphopenia (lymphocyte count  $<1 \times 10^9/L$ ; 26 [63%] patients; table 2). Prothrombin time and D-dimer level on admission were higher in ICU patients (median prothrombin time 12·2 s [IQR 11·2–13·4]; median D-dimer level 2·4 mg/L [0·6–14·4]) than non-ICU patients (median prothrombin time 10·7 s [9·8–12·1],  $p=0\cdot012$ ; median D-dimer level 0·5 mg/L [0·3–0·8],  $p=0\cdot0042$ ). Levels of aspartate aminotransferase were increased in 15 (37%) of 41 patients, including eight (62%) of 13 ICU patients and seven (25%) of 28 non-ICU patients. Hypersensitive troponin I (hs-cTnI) was increased substantially in five patients, in whom the diagnosis of virus-related cardiac injury was made.

Most patients had normal serum levels of procalcitonin on admission (procalcitonin  $<0\cdot1$  ng/mL; 27 [69%] patients; table 2). Four ICU patients developed secondary infections. Three of the four patients with secondary infection had procalcitonin greater than 0·5 ng/mL (0·69 ng/mL, 1·46 ng/mL, and 648 ng/mL).

On admission, abnormalities in chest CT images were detected among all patients. Of the 41 patients, 40 (98%) had bilateral involvement (table 2). The typical findings of chest CT images of ICU patients on admission were bilateral multiple lobular and subsegmental areas of consolidation (figure 3A). The representative chest CT findings of non-ICU patients showed bilateral ground-glass opacity and subsegmental areas of consolidation (figure 3B). Later chest CT images showed bilateral ground-glass opacity whereas the consolidation had been resolved (figure 3C).

Initial plasma IL1B, IL1RA, IL7, IL8, IL9, IL10, basic FGF, GCSF, GM-CSF, IFN $\gamma$ , IP10, MCP1, MIP1A, MIP1B, PDGF, TNF $\alpha$ , and VEGF concentrations were higher in both ICU patients and non-ICU patients than in healthy adults (appendix pp 6–7). Plasma levels of IL5, IL12p70, IL15, Eotaxin, and RANTES were similar between healthy adults and patients infected with 2019-nCoV. Further comparison between ICU and non-ICU patients showed that plasma concentrations of IL2, IL7, IL10, GCSF, IP10, MCP1, MIP1A, and TNF $\alpha$  were higher in ICU patients than non-ICU patients.

All patients had pneumonia. Common complications included ARDS (12 [29%] of 41 patients), followed by

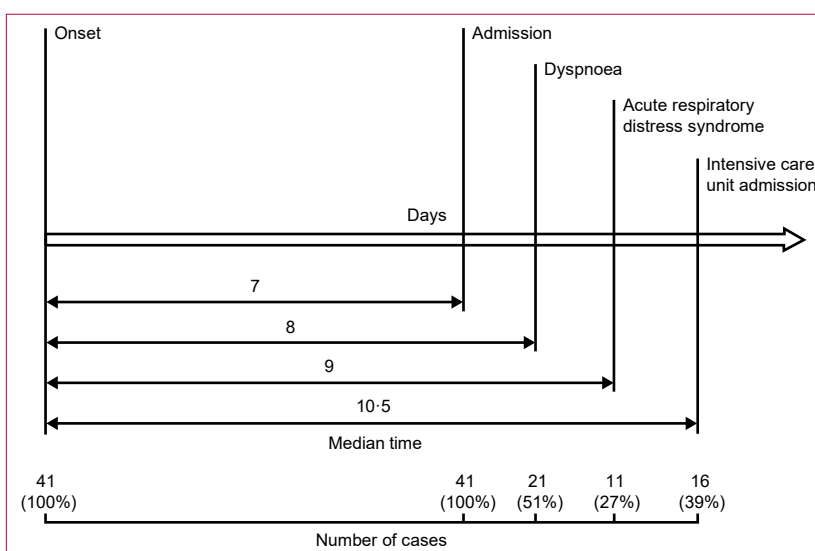


Figure 2: Timeline of 2019-nCoV cases after onset of illness

RNAemia (six [15%] patients), acute cardiac injury (five [12%] patients), and secondary infection (four [10%] patients; table 3). Invasive mechanical ventilation was required in four (10%) patients, with two of them (5%) had refractory hypoxaemia and received extracorporeal membrane oxygenation as salvage therapy. All patients were administered with empirical antibiotic treatment, and 38 (93%) patients received antiviral therapy (oseltamivir). Additionally, nine (22%) patients were given systematic corticosteroids. A comparison of clinical features between patients who received and did not receive systematic corticosteroids is in the appendix (pp 1–5).

As of Jan 22, 2020, 28 (68%) of 41 patients have been discharged and six (15%) patients have died. Fitness for discharge was based on abatement of fever for at least 10 days, with improvement of chest radiographic evidence and viral clearance in respiratory samples from upper respiratory tract.

## Discussion

We report here a cohort of 41 patients with laboratory-confirmed 2019-nCoV infection. Patients had serious, sometimes fatal, pneumonia and were admitted to the designated hospital in Wuhan, China, by Jan 2, 2020. Clinical presentations greatly resemble SARS-CoV. Patients with severe illness developed ARDS and required ICU admission and oxygen therapy. The time between hospital admission and ARDS was as short as 2 days. At this stage, the mortality rate is high for 2019-nCoV because six (15%) of 41 patients in this cohort died.

The number of deaths is rising quickly. As of Jan 24, 2020, 835 laboratory-confirmed 2019-nCoV infections were reported in China, with 25 fatal cases. Reports have been released of exported cases in many provinces in China, and in other countries;

See [Online](#) for appendix



|                                            | All patients (n=41) | ICU care (n=13)     | No ICU care (n=28)  | p value |
|--------------------------------------------|---------------------|---------------------|---------------------|---------|
| White blood cell count/ $10^9$ per L       | 6.2 (4.1–10.5)      | 11.3 (5.8–12.1)     | 5.7 (3.1–7.6)       | 0.011   |
| <4                                         | 10/40 (25%)         | 1/13 (8%)           | 9/27 (33%)          | 0.041   |
| 4–10                                       | 18/40 (45%)         | 5/13 (38%)          | 13/27 (48%)         | ..      |
| >10                                        | 12/40 (30%)         | 7/13 (54%)          | 5/27 (19%)          | ..      |
| Neutrophil count, $10^9$ per L             | 5.0 (3.3–8.9)       | 10.6 (5.0–11.8)     | 4.4 (2.0–6.1)       | 0.00069 |
| Lymphocyte count, $10^9$ per L             | 0.8 (0.6–1.1)       | 0.4 (0.2–0.8)       | 1.0 (0.7–1.1)       | 0.0041  |
| <1.0                                       | 26/41 (63%)         | 11/13 (85%)         | 15/28 (54%)         | 0.045   |
| $\geq 1.0$                                 | 15/41 (37%)         | 2/13 (15%)          | 13/28 (46%)         | ..      |
| Haemoglobin, g/L                           | 126.0 (118.0–140.0) | 122.0 (111.0–128.0) | 130.5 (120.0–140.0) | 0.20    |
| Platelet count, $10^9$ per L               | 164.5 (131.5–263.0) | 196.0 (165.0–263.0) | 149.0 (131.0–263.0) | 0.45    |
| <100                                       | 2/40 (5%)           | 1/13 (8%)           | 1/27 (4%)           | 0.45    |
| $\geq 100$                                 | 38/40 (95%)         | 12/13 (92%)         | 26/27 (96%)         | ..      |
| Prothrombin time, s                        | 11.1 (10.1–12.4)    | 12.2 (11.2–13.4)    | 10.7 (9.8–12.1)     | 0.012   |
| Activated partial thromboplastin time, s   | 27.0 (24.2–34.1)    | 26.2 (22.5–33.9)    | 27.7 (24.8–34.1)    | 0.57    |
| D-dimer, mg/L                              | 0.5 (0.3–1.3)       | 2.4 (0.6–14.4)      | 0.5 (0.3–0.8)       | 0.0042  |
| Albumin, g/L                               | 31.4 (28.9–36.0)    | 27.9 (26.3–30.9)    | 34.7 (30.2–36.5)    | 0.00066 |
| Alanine aminotransferase, U/L              | 32.0 (21.0–50.0)    | 49.0 (29.0–115.0)   | 27.0 (19.5–40.0)    | 0.038   |
| Aspartate aminotransferase, U/L            | 34.0 (26.0–48.0)    | 44.0 (30.0–70.0)    | 34.0 (24.0–40.5)    | 0.10    |
| $\leq 40$                                  | 26/41 (63%)         | 5/13 (38%)          | 21/28 (75%)         | 0.025   |
| >40                                        | 15/41 (37%)         | 8/13 (62%)          | 7/28 (25%)          | ..      |
| Total bilirubin, mmol/L                    | 11.7 (9.5–13.9)     | 14.0 (11.9–32.9)    | 10.8 (9.4–12.3)     | 0.011   |
| Potassium, mmol/L                          | 4.2 (3.8–4.8)       | 4.6 (4.0–5.0)       | 4.1 (3.8–4.6)       | 0.27    |
| Sodium, mmol/L                             | 139.0 (137.0–140.0) | 138.0 (137.0–139.0) | 139.0 (137.5–140.5) | 0.26    |
| Creatinine, $\mu$ mol/L                    | 74.2 (57.5–85.7)    | 79.0 (53.1–92.7)    | 73.3 (57.5–84.7)    | 0.84    |
| $\leq 133$                                 | 37/41 (90%)         | 11/13 (85%)         | 26/28 (93%)         | 0.42    |
| >133                                       | 4/41 (10%)          | 2/13 (15%)          | 2/28 (7%)           | ..      |
| Creatine kinase, U/L                       | 132.5 (62.0–219.0)  | 132.0 (82.0–493.0)  | 133.0 (61.0–189.0)  | 0.31    |
| $\leq 185$                                 | 27/40 (68%)         | 7/13 (54%)          | 20/27 (74%)         | 0.21    |
| >185                                       | 13/40 (33%)         | 6/13 (46%)          | 7/27 (26%)          | ..      |
| Lactate dehydrogenase, U/L                 | 286.0 (242.0–408.0) | 400.0 (323.0–578.0) | 281.0 (233.0–357.0) | 0.0044  |
| $\leq 245$                                 | 11/40 (28%)         | 1/13 (8%)           | 10/27 (37%)         | 0.036   |
| >245                                       | 29/40 (73%)         | 12/13 (92%)         | 17/27 (63%)         | ..      |
| Hypersensitive troponin I, pg/mL           | 3.4 (1.1–9.1)       | 3.3 (3.0–163.0)     | 3.5 (0.7–5.4)       | 0.075   |
| >28 (99th percentile)                      | 5/41 (12%)          | 4/13 (31%)          | 1/28 (4%)           | 0.017   |
| Procalcitonin, ng/mL                       | 0.1 (0.1–0.1)       | 0.1 (0.1–0.4)       | 0.1 (0.1–0.1)       | 0.031   |
| <0.1                                       | 27/39 (69%)         | 6/12 (50%)          | 21/27 (78%)         | 0.029   |
| $\geq 0.1$ to <0.25                        | 7/39 (18%)          | 3/12 (25%)          | 4/27 (15%)          | ..      |
| $\geq 0.25$ to <0.5                        | 2/39 (5%)           | 0/12                | 2/27 (7%)           | ..      |
| $\geq 0.5$                                 | 3/39 (8%)           | 3/12 (25%)*         | 0/27                | ..      |
| Bilateral involvement of chest radiographs | 40/41 (98%)         | 13/13 (100%)        | 27/28 (96%)         | 0.68    |
| Cycle threshold of respiratory tract       | 32.2 (31.0–34.5)    | 31.1 (30.0–33.5)    | 32.2 (31.1–34.7)    | 0.39    |

Data are median (IQR) or n/N (%), where N is the total number of patients with available data. p values comparing ICU care and no ICU care are from  $\chi^2$ , Fisher's exact test, or Mann-Whitney U test. 2019-nCoV=2019 novel coronavirus. ICU=intensive care unit. \*Complicated typical secondary infection during the first hospitalisation.

**Table 2: Laboratory findings of patients infected with 2019-nCoV on admission to hospital**

some health-care workers have also been infected in Wuhan. Taken together, evidence so far indicates human transmission for 2019-nCoV. We are concerned that 2019-nCoV could have acquired the ability for efficient human transmission.<sup>19</sup> Airborne precautions, such as a fit-tested N95 respirator, and other personal protective equipment are strongly recommended. To

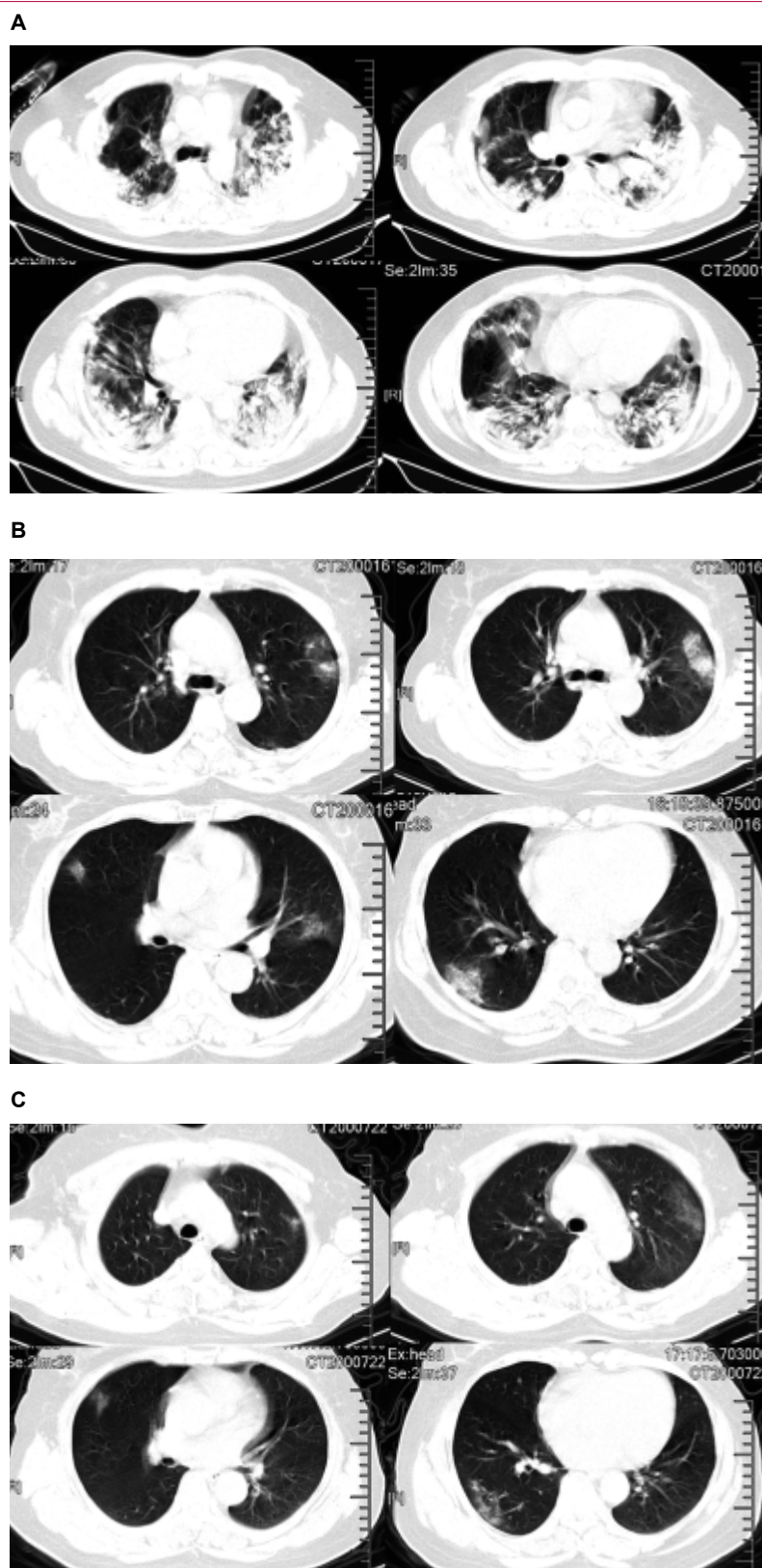
prevent further spread of the disease in health-care settings that are caring for patients infected with 2019-nCoV, onset of fever and respiratory symptoms should be closely monitored among health-care workers. Testing of respiratory specimens should be done immediately once a diagnosis is suspected. Serum antibodies should be tested among health-care workers

before and after their exposure to 2019-nCoV for identification of asymptomatic infections.

Similarities of clinical features between 2019-nCoV and previous betacoronavirus infections have been noted. In this cohort, most patients presented with fever, dry cough, dyspnoea, and bilateral ground-glass opacities on chest CT scans. These features of 2019-nCoV infection bear some resemblance to SARS-CoV and MERS-CoV infections.<sup>20,21</sup> However, few patients with 2019-nCoV infection had prominent upper respiratory tract signs and symptoms (eg, rhinorrhoea, sneezing, or sore throat), indicating that the target cells might be located in the lower airway. Furthermore, 2019-nCoV patients rarely developed intestinal signs and symptoms (eg, diarrhoea), whereas about 20–25% of patients with MERS-CoV or SARS-CoV infection had diarrhoea.<sup>21</sup> Faecal and urine samples should be tested to exclude a potential alternative route of transmission that is unknown at this stage.

The pathophysiology of unusually high pathogenicity for SARS-CoV or MERS-CoV has not been completely understood. Early studies have shown that increased amounts of proinflammatory cytokines in serum (eg, IL1B, IL6, IL12, IFN $\gamma$ , IP10, and MCP1) were associated with pulmonary inflammation and extensive lung damage in SARS patients.<sup>22</sup> MERS-CoV infection was also reported to induce increased concentrations of proinflammatory cytokines (IFN $\gamma$ , TNF $\alpha$ , IL15, and IL17).<sup>23</sup> We noted that patients infected with 2019-nCoV also had high amounts of IL1B, IFN $\gamma$ , IP10, and MCP1, probably leading to activated T-helper-1 (Th1) cell responses. Moreover, patients requiring ICU admission had higher concentrations of G-CSF, IP10, MCP1, MIP1A, and TNF $\alpha$  than did those not requiring ICU admission, suggesting that the cytokine storm was associated with disease severity. However, 2019-nCoV infection also initiated increased secretion of T-helper-2 (Th2) cytokines (eg, IL4 and IL10) that suppress inflammation, which differs from SARS-CoV infection.<sup>22</sup> Further studies are necessary to characterise the Th1 and Th2 responses in 2019-nCoV infection and to elucidate the pathogenesis. Autopsy or biopsy studies would be the key to understand the disease.

In view of the high amount of cytokines induced by SARS-CoV,<sup>22,24</sup> MERS-CoV,<sup>5,26</sup> and 2019-nCoV infections, corticosteroids were used frequently for treatment of patients with severe illness, for possible benefit by reducing inflammatory-induced lung injury. However, current evidence in patients with SARS and MERS



**Figure 2** Chest CT images

(A) Transverse chest CT images from a 40-year-old man showing multiple lobular and subsegmental areas of consolidation on day 1 after symptom onset. Transverse chest CT images from a 53-year-old man showing bilateral ground glass opacity and subsegmental areas of consolidation on day 8 after symptom onset (B), and bilateral ground-glass opacity on day 10 after symptom onset (C).



|                                                     | All patients (n=41) |                    |                  | p value |
|-----------------------------------------------------|---------------------|--------------------|------------------|---------|
|                                                     | ICU care (n=13)     | No ICU care (n=28) |                  |         |
| Duration from illness onset to first admission      | 7.0 (4.0–8.0)       | 7.0 (4.0–8.0)      | 7.0 (4.0–8.5)    | 0.87    |
| <b>Complications</b>                                |                     |                    |                  |         |
| Acute respiratory distress syndrome                 | 12 (29%)            | 11 (85%)           | 1 (4%)           | <0.0001 |
| RNAemia                                             | 6 (15%)             | 2 (15%)            | 4 (14%)          | 0.93    |
| Cycle threshold of RNAemia                          | 35.1 (34.7–35.1)    | 35.1 (35.1–35.1)   | 34.8 (34.1–35.4) | 0.35    |
| Acute cardiac injury*                               | 5 (12%)             | 4 (31%)            | 1 (4%)           | 0.017   |
| Acute kidney injury                                 | 3 (7%)              | 3 (23%)            | 0                | 0.027   |
| Secondary infection                                 | 4 (10%)             | 4 (31%)            | 0                | 0.0014  |
| Shock                                               | 3 (7%)              | 3 (23%)            | 0                | 0.027   |
| <b>Treatment</b>                                    |                     |                    |                  |         |
| Antiviral therapy                                   | 38 (93%)            | 12 (92%)           | 26 (93%)         | 0.46    |
| Antibiotic therapy                                  | 41 (100%)           | 13 (100%)          | 28 (100%)        | NA      |
| Use of corticosteroid                               | 9 (22%)             | 6 (46%)            | 3 (11%)          | 0.013   |
| Continuous renal replacement therapy                | 3 (7%)              | 3 (23%)            | 0                | 0.027   |
| Oxygen support                                      | ..                  | ..                 | ..               | <0.0001 |
| Nasal cannula                                       | 27 (66%)            | 1 (8%)             | 26 (93%)         | ..      |
| Non-invasive ventilation or high-flow nasal cannula | 10 (24%)            | 8 (62%)            | 2 (7%)           | ..      |
| Invasive mechanical ventilation                     | 2 (5%)              | 2 (15%)            | 0                | ..      |
| Invasive mechanical ventilation and ECMO            | 2 (5%)              | 2 (15%)            | 0                | ..      |
| <b>Prognosis</b>                                    |                     |                    |                  |         |
| Hospitalisation                                     | 7 (17%)             | 1 (8%)             | 6 (21%)          | ..      |
| Discharge                                           | 28 (68%)            | 7 (54%)            | 21 (75%)         | ..      |
| Death                                               | 6 (15%)             | 5 (38%)            | 1 (4%)           | ..      |

Data are median (IQR) or n (%). p values are comparing ICU care and no ICU care. 2019-nCoV=2019 novel coronavirus. ICU=intensive care unit. NA=not applicable. ECMO=extracorporeal membrane oxygenation. \*Defined as blood levels of troponin I above the 99th percentile upper reference limit (>28 pg/mL) or new abnormalities shown on electrocardiography and echocardiography.

**Table 3: Treatments and outcomes of patients infected with 2019-nCoV**

suggests that receiving corticosteroids did not have an effect on mortality, but rather delayed viral clearance.<sup>27–29</sup> Therefore, corticosteroids should not be routinely given systemically, according to WHO interim guidance.<sup>30</sup> Among our cohort of 41 laboratory-confirmed patients with 2019-nCoV infection, corticosteroids were given to very few non-ICU cases, and low-to-moderate dose of corticosteroids were given to less than half of severely ill patients with ARDS. Further evidence is urgently needed to assess whether systematic corticosteroid treatment is beneficial or harmful for patients infected with 2019-nCoV.

No antiviral treatment for coronavirus infection has been proven to be effective. In a historical control study,<sup>31</sup> the combination of lopinavir and ritonavir among SARS-CoV patients was associated with substantial clinical benefit (fewer adverse clinical outcomes). Arabi and colleagues initiated a placebo-controlled trial of interferon beta-1b, lopinavir, and ritonavir among patients with MERS infection in Saudi Arabia.<sup>32</sup> Preclinical evidence showed

the potent efficacy of remdesivir (a broad-spectrum antiviral nucleotide prodrug) to treat MERS-CoV and SARS-CoV infections.<sup>33,34</sup> As 2019-nCoV is an emerging virus, an effective treatment has not been developed for diseases resulting from this virus. Since the combination of lopinavir and ritonavir was already available in the designated hospital, a randomised controlled trial has been initiated quickly to assess the efficacy and safety of combined use of lopinavir and ritonavir in patients hospitalised with 2019-nCoV infection.

Our study has some limitations. First, for most of the 41 patients, the diagnosis was confirmed with lower respiratory tract specimens and no paired nasopharyngeal swabs were obtained to investigate the difference in the viral RNA detection rate between upper and lower respiratory tract specimens. Serological detection was not done to look for 2019-nCoV antibody rises in 18 patients with undetectable viral RNA. Second, with the limited number of cases, it is difficult to assess host risk factors for disease severity and mortality with multivariable-adjusted methods. This is a modest-sized case series of patients admitted to hospital; collection of standardised data for a larger cohort would help to further define the clinical presentation, natural history, and risk factors. Further studies in outpatient, primary care, or community settings are needed to get a full picture of the spectrum of clinical severity. At the same time, finding of statistical tests and p values should be interpreted with caution, and non-significant p values do not necessarily rule out difference between ICU and non-ICU patients. Third, since the causative pathogen has just been identified, kinetics of viral load and antibody titres were not available. Finally, the potential exposure bias in our study might account for why no paediatric or adolescent patients were reported in this cohort. More effort should be made to answer these questions in future studies.

Both SARS-CoV and MERS-CoV were believed to originate in bats, and these infections were transmitted directly to humans from market civets and dromedary camels, respectively.<sup>6</sup> Extensive research on SARS-CoV and MERS-CoV has driven the discovery of many SARS-like and MERS-like coronaviruses in bats. In 2013, Ge and colleagues<sup>35</sup> reported the whole genome sequence of a SARS-like coronavirus in bats with that ability to use human ACE2 as a receptor, thus having replication potentials in human cells.<sup>37</sup> 2019-nCoV still needs to be studied deeply in case it becomes a global health threat. Reliable quick pathogen tests and feasible differential diagnosis based on clinical description are crucial for clinicians in their first contact with suspected patients. Because of the pandemic potential of 2019-nCoV, careful surveillance is essential to monitor its future host adaption, viral evolution, infectivity, transmissibility, and pathogenicity.

#### Contributors

BC and JW had the idea for and designed the study and had full access to all data in the study and take responsibility for the integrity of the



data and the accuracy of the data analysis. YW, GF, XG, JiXu, HL, and BC contributed to writing of the report. BC contributed to critical revision of the report. YW, GF, XG, JiXu, and HL contributed to the statistical analysis. All authors contributed to data acquisition, data analysis, or data interpretation, and reviewed and approved the final version.

#### Declaration of interests

All authors declare no competing interests.

#### Data sharing

The data that support the findings of this study are available from the corresponding author on reasonable request. Participant data without names and identifiers will be made available after approval from the corresponding author and National Health Commission. After publication of study findings, the data will be available for others to request. The research team will provide an email address for communication once the data are approved to be shared with others. The proposal with detailed description of study objectives and statistical analysis plan will be needed for evaluation of the reasonability to request for our data. The corresponding author and National Health Commission will make a decision based on these materials. Additional materials may also be required during the process.

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National Institutes of Health  
National Institute of Allergy  
and Infectious Diseases  
Bethesda, Maryland 20892

24 April 2020

Drs. Aleksei Chmura and Peter Daszak  
EcoHealth Alliance, Inc.  
460 W 34<sup>th</sup> St  
Suite 1701  
New York, NY 10001

Re: Termination of NIH Grant R01 AI 110964

Dear Drs. Chmura and Daszak:

I am writing to notify you that the National Institute of Allergy and Infectious Diseases (NIAID), an Institute within the National Institutes of Health (NIH), under the Department of Health and Human Services (HHS) has elected to terminate the project *Understanding the Risk of Bat Coronavirus Emergence*, funded under grant R01 AI110964, for convenience. This grant project was issued under the authorization of Sections 301 and 405 of the Public Health Service Act as amended (42 USC 241 and 284). This grant was funded as a discretionary grant as outlined in the [NIH Grants Policy Statement](#), which states that the decision not to award a grant, or to award a grant at a particular funding level, is at the discretion of the agency, in accordance with NIH's dual review system.

At this time, NIH does not believe that the current project outcomes align with the program goals and agency priorities. NIAID has determined there are no animal and human ethical considerations, as this project is not a clinical trial, but rather an observational study.

As a result of this termination, a total of \$369,819.56 will be remitted to NIAID and additional drawdowns will not be supported. The remaining funds have been restricted in the HHS Payment Management System, effective immediately.

Please let me know if you have any questions concerning the information in this letter.

Sincerely,

Lauer, Michael (NIH/OD) [E]  
Digitally signed by Lauer, Michael (NIH/OD) [E]  
Date: 2020.04.24 16:41:16 -04'00'

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
Email: (b) (6)

cc: Dr. Erik Stemmy  
Ms. Emily Linde



Date: April 19, 2020

From: Michael S Lauer, MD  
NIH Deputy Director for Extramural Research

Lauer, Michael  
(NIH/OD) [E]  
Digitally signed by Lauer,  
Michael (NIH/OD) [E]  
Date: 2020.04.19 10:47:40  
-04'00'

To: Kevin Olival, PhD  
Vice-President for Research  
EcoHealth Alliance  
(b) (6)

Naomi Schrag, JD  
Vice-President for Research Compliance, Training, and Policy  
Columbia University  
(b) (6)

Subject: Project Number 2R01AI110964-06

Dear Dr. Olival and Ms. Schrag:

EcoHealth Alliance, Inc. is the recipient, as grantee, of an NIH grant entitled “Understanding the Risk of Bat Coronavirus Emergence.” It is our understanding that one of the sub-recipients of the grant funds is the Wuhan Institute of Virology (“WIV”). It is our understanding that WIV studies the interaction between corona viruses and bats. The scientific community believes that the coronavirus causing COVID-19 jumped from bats to humans likely in Wuhan where the COVID-19 pandemic began. There are now allegations that the current crisis was precipitated by the release from WIV of the coronavirus responsible for COVID-19. Given these concerns, we are pursuing suspension of WIV from participation in Federal programs.

While we review these allegations during the period of suspension, you are instructed to cease providing any funds from the above noted grant to the WIV. This temporary action is authorized by 45 C.F.R. § 75.371(d) (“Initiate suspension or debarment proceedings as authorized under 2 C.F.R. part 180”). The incorporated OMB provision provides that the funding agency may, through suspension, immediately and temporarily exclude from Federal programs persons who are not presently responsible where “immediate action is necessary to protect the public interest.” 2 C.F.R. § 180.700(c). It is in the public interest that NIH ensure that a sub-recipient has taken all appropriate precautions to prevent the release of pathogens that it is studying. This suspension of the sub-recipient does not affect the remainder of your grant assuming that no grant funds are provided to WIV following receipt of this email during the period of suspension.

**Subject:** Re: PLEASE READ -- Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**From:** Aleksei Chmura <(b) (6)>  
**Sent:** Mon 4/27/2020 10:57:49 PM (UTC-05:00)  
**Cc:** Peter Daszak <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)> Erik Stemmy  
<(b) (6)> Emily Erbelding <(b) (6)> "Linde, Emily (NIH/NIAID) [E]" <(b) (6)> "Bulls,  
Michelle G. (NIH/OD) [E]" <(b) (6)> Alison Andre <(b) (6)>  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>

Dear Michael,  
Could Peter and I have a quick chat with you sometime tomorrow (Tuesday) about your email, below?

Sincerely,

-Aleksei

**Aleksei Chmura, PhD**  
*Chief of Staff*

EcoHealth Alliance  
460 West 34th Street, Suite 1701  
New York, NY 10001

(b) (6) (office)  
(b) (6) (mobile)  
[www.ecohealthalliance.org](http://www.ecohealthalliance.org)

*EcoHealth Alliance develops science based solutions to prevent pandemics and promote conservation*

On Apr 24, 2020, at 16:47, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Dear Dr. Chmura and Dr. Daszak

Please see attached.

Sincerely,  
Michael S Lauer, MD

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Aleksei Chmura <(b) (6)>  
**Date:** Thursday, April 23, 2020 at 1:50 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** Peter Daszak <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
"Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]"  
<(b) (6)>

**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I read that we are in agreement and in compliance with all requests. Please let us know if anything further is required.  
We will continue in our usual close communication with our Program Officer Erik Stemmy.

Sincerely,

-Aleksei

**Aleksei Chmura**  
Chief of Staff &  
Authorized Organizational Representative

EcoHealth Alliance  
460 West 34th Street, Suite 1701  
New York, NY 10001

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*EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation.*

On Apr 21, 2020, at 19:28, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Peter for your response.

We note that:

- No monies have gone to WIV on the Type 2 award and no contract has been signed.
- You agree that you will not provide any funds to WIV until and unless directed otherwise by NIH.
- All foreign sites for the Type 1 and Type 2 awards have been documented in the progress reports submitted to NIH.

We appreciate your working with us.

Best, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Peter Daszak <(b) (6)>  
**Date:** Tuesday, April 21, 2020 at 7:07 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura  
<(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)>  
"Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records

2. My Program Officer for this award, Dr. Erik Stemmy & the Division Director (DMID), Dr. Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds from 2R01AI110964-06 have been sent to Wuhan Institute of Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course.

Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

**Peter Daszak**  
*President*

EcoHealth Alliance  
460 West 34<sup>th</sup> Street  
New York, NY 10001  
USA

Tel.: (b) (6)  
Website: [www.ecohealthalliance.org](http://www.ecohealthalliance.org)  
Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

*EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation*

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 4:31 PM  
**To:** Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.



- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer, MD  
 NIH Deputy Director for Extramural Research  
 1 Center Drive, Building 1, Room 144  
 Bethesda, MD 20892  
 Phone: (b) (6)  
 Email: (b) (6)

---

**From:** Kevin Olival <(b) (6)>  
**Date:** Monday, April 20, 2020 at 4:14 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak (b) (6) who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,  
 Kevin

**Kevin J. Olival, PhD**  
*Vice President for Research*

EcoHealth Alliance  
 460 West 34th Street, Suite 1701  
 New York, NY 10001

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EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

---

**From:** Naomi Schrag <(b) (6)>  
**Date:** Sunday, April 19, 2020 at 11:59 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
(b) (6) <(b) (6)> Naomi Schrag  
<(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,  
I am acknowledging receipt of this letter and will get back to you as soon as I can.  
Sincerely,  
Naomi Schrag

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Sunday, April 19, 2020 11:00 AM  
**To:** (b) (6) Naomi Schrag <(b) (6)>  
**Cc:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Subject:** Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

<EcoHealth Alliance re AI grant 4 19 20[2].pdf><NoA R01AI110964-06.pdf><NoA R01AI110964-01.pdf>

<Daszak letter 4 24 20.pdf><EcoHealth Alliance re AI grant 4 19 20.pdf>

**From:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology  
**Sent:** Wed 4/15/2020 6:12:36 AM (UTC-05:00)

Mike – sorry – what is the total amount Wuhan has received since 2014?

Does the money go to NY and they send to Wuhan or do we send to Wuhan directly.

Thanks  
Larry

---

**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Date:** Wednesday, April 15, 2020 at 7:11 AM  
**To:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Cc:** "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Thanks – just sent you budget details.

Mike

---

**From:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**Date:** Tuesday, April 14, 2020 at 10:12 PM  
**To:** "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Cc:** "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Thanks Emily.  
Looping in Mike Lauer,  
Larry

---

**From:** "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Date:** Tuesday, April 14, 2020 at 10:11 PM  
**To:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)>  
**Subject:** Fwd: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

I am forwarding draft response below to inquiry from Rubio et al earlier.

PI is Peter Dazsak, Eco Health alliance in NYC. Wuhan subcontract is approximately 74k per year. I will try to find more accurate subcontract numbers.

Sent from my iPad  
Begin forwarded message:

**From:** "Abbey, Lillian (NIH/NIAID) [E]" <(b) (6)>  
**Date:** April 14, 2020 at 4:24:34 PM EDT  
**To:** "Cassetti, Cristina (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Cc:** "Ford, Andrew (NIH/NIAID) [E]" <(b) (6)> "Bateman, Karen (NIH/NIAID) [E]" <(b) (6)>  
"Werner, Alyssa (NIH/NIAID) [E]" <(b) (6)> "Mulach,

Barbara (NIH/NIAID) [E]" <(b) (6)>

**Subject: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology**

Dear Cristina and Emily,

Incorporated below in red font is a draft response Andrew developed based on his discussion with Erik. (b) (5)

Also, Andrew provided the attached publication from mid-March, noting that we may want to share it with the OD.

**DRAFT RESPONSE:**

**Project Number:** 2R01AI110964-06

**Contact PI / Project Leader:** DASZAK, PETER

**Title:** UNDERSTANDING THE RISK OF BAT CORONAVIRUS EMERGENCE

**Awardee Organization:** ECOHEALTH ALLIANCE, INC.

[https://projectreporter.nih.gov/project\\_info\\_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=](https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=)

1. What are the goals of the main grant:

(b) (5)

2. What are the specific activities supported by the sub to the Wuhan lab and the total costs associated with these activities. Please verify if the creation of recombinant bat in Wuhan is included in their research activities.

(b) (5)

Total award information is available in Reporter at link above but budget information about subcontracts is not publicly available as these awards are administered by the grantee institution.

---

**From:** Crawford, Chase (NIH/NIAID) [E] <(b) (6)>

**Sent:** Monday, April 13, 2020 5:41 PM

**To:** NIAID BUGS <(b) (6)>

**Cc:** Auchincloss, Hugh (NIH/NIAID) [E] <(b) (6)>

Harper, Jill (NIH/NIAID) [E]

<(b) (6)> NIAID OCGR Leg <(b) (6)>

**Subject:** Request for information: Senate Qs - Wuhan Institute of Virology

Hi BUGS,

Staff to Senator Marco Rubio (R-FL) has forwarded an email to Building 1 from the White Coat Waste Project (see bottom of email chain). The forwarded message links to recent articles in The Daily Mail and the Washington Examiner on NIH support for previous coronavirus studies involving the Wuhan Institute of Virology. Building 1 has

asked if NIAID has any information related to this research that we can share with staff to Senators Rubio and Mike Braun (R-IN).

**To help us better understand this congressional request, is there any background information that you can provide on the activities discussed in the articles referenced below?**

Thanks,  
Chase

(b) (6)

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**From:** LaMontagne, Karen (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 13, 2020 4:23 PM  
**To:** NIAID OCGR Leg <(b) (6)>  
**Subject:** Senate Qs - Wuhan Institute of Virology

Hi, NIAID,

Separately, we have heard from the offices of Senators Rubio and Braun about these linked articles:

[White Coat Waste](#)  
[Daily Mail](#)  
[Washington Examiner](#)

Both offices have asked if there's any information we can share with them related to this matter. Thanks in advance for anything you can provide.

Karen

---

**From:** Michelle Mitchell <(b) (6)>  
**Date:** Monday, April 13, 2020 at 3:42 PM  
**To:** Karen LaMontagne <(b) (6)>  
**Subject:** Sen. Rubio question - NIH funding Wuhan virus lab

Hey Karen,

Sen. Rubio's staff, Ansley Rhyne, forwarded the email below that she received regarding NIH funding for the Wuhan Institute of Virology. Her boss, along with Rep. Gaetz are working on a letter to ensure no taxpayer dollars are sent to that Institute.

Ansley requested our input. Would you ask NIAID for any information on this issue that we could be shared with Ansley?

Thank you.

MM

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**From:** Justin Goodman <[justin@whitecoatwaste.org](mailto:justin@whitecoatwaste.org)>  
**Sent:** Monday, April 13, 2020 2:36 PM  
**To:**  
**Subject:** Laura- NIH funding Wuhan virus lab

I hope you had a nice weekend and are staying safe and healthy. I wanted to make sure you saw that our taxpayer watchdog group just [exposed](#) that **the National Institutes of Health (NIH) has been sending tax dollars to the controversial Wuhan Institute of Virology for years, including for dangerous lab**

experiments on coronavirus-infected bats captured from caves. The [Daily Mail](#), [Washington Examiner](#), Drudge and others ran stories about the troubling find over the weekend.

We're working with Rep. Matt Gaetz (R-FL) and others on a sign-on letter about this and would love to work with you and Senator Rubio as well to ensure no more tax dollars are shipped to the Wuhan Institute of Virology.

I'd be happy to send over more info if you're interested and answer any questions you may have.

Thanks for looking,

Justin

---

**Justin Goodman, M.A.**

Vice President, Advocacy and Public Policy  
White Coat Waste Project

*Taxpayers shouldn't be forced to pay \$20 billion+  
for **wasteful** government animal experiments.*

PO Box 26029  
Washington, DC 20001  
Phone: 860.882.2492

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**From:** "Bettencourt, Alice (HHS/ASFR)" <(b) (6)>  
**To:** "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Tarwater, Robert (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/NHLBI) [E]" <(b) (6)>  
**Subject:** RE: Subrecipients Under FAIN R01AI110964  
**Sent:** Tue 4/21/2020 2:22:47 PM (UTC-05:00)

Hi Michelle,  
No worries. This was more of a heads up in case we get asked since nothing was listed in the reporting system. Thanks for following up!

Alice

---

**From:** Bulls, Michelle G. (NIH/OD) [E] <(b) (6)>  
**Sent:** Tuesday, April 21, 2020 8:44 AM  
**To:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Cc:** Tarwater, Robert (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/NHLBI) [E] <(b) (6)>  
Bettencourt, Alice (HHS/ASFR) <(b) (6)> Bulls, Michelle G. (NIH/OD) [E] <(b) (6)>  
**Subject:** RE: Subrecipients Under FAIN R01AI110964

Hi Alice,  
Jodi and Mike have forwarded your question to me. I have my team researching this answer—I will get back to you before the end of the day.

Michelle

---

**From:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 10:28 PM  
**To:** Bulls, Michelle G. (NIH/OD) [E] <(b) (6)>  
**Cc:** Tarwater, Robert (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Subject:** FW: Subrecipients Under FAIN R01AI110964

Hi Michelle, how do you suggest we proceed? See below

Best,  
Jodi

Jodi B. Black, PhD, MMSc  
Deputy Director  
Office of Extramural Research, NIH

---

**From:** Mike Lauer <(b) (6)>  
**Date:** Monday, April 20, 2020 at 6:55 PM  
**To:** "Bettencourt, Alice (HHS/ASFR)" <(b) (6)> Jodi OER <(b) (6)>  
**Cc:** Mike Lauer <(b) (6)>  
**Subject:** Re: Subrecipients Under FAIN R01AI110964

Thanks Alice – looping in Jodi – we'll look into it.

Best, Mike

---

**From:** "Bettencourt, Alice (HHS/ASFR)" <(b) (6)>  
**Date:** Monday, April 20, 2020 at 5:04 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Subrecipients Under FAIN R01AI110964



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**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 4:57 PM  
**To:** Bettencourt, Alice (HHS/ASFR) <(b) (6)> Bulls, Michelle G. (NIH/OD) [E] <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Cc:** Lauer, Michael (NIH/NHLBI) [E] <(b) (6)>  
**Subject:** Re: Subrecipients Under FAIN R01AI110964

Hi Alice – here's the info I have – from NIAID. Thanks, Mike

R01-AI-110964, Peter Daszak, PI to ECOHEALTH ALLIANCE

Initial competitive segment (starting with Type 1, grant years 01-05 funded from 06/01/2014 - 05/31/2019)

Funded Chinese sites:

|                                        |                     |
|----------------------------------------|---------------------|
| East China Normal University, Shanghai | \$295,623 (5 years) |
| Wuhan Inst. Virology, Wuhan            | \$749,966 (5 years) |

Chinese collaborators (no funds awarded) also located at:

Center for Disease Control and Prevention, Guangzhou  
Guangdong Entomological Institute, Shanghai  
Yunnan Institute of Endemic Diseases Control and Prevention, Dali

Second competitive segment (starting with Type 2, revised NOA)

Currently in year 6 (budget period ends 6/30/2020, project period ends 6/30/2024)

Funded Chinese sites:

|                                        |                   |
|----------------------------------------|-------------------|
| Institute of Pathogen Biology, Beijing | \$75,600 (1 year) |
| Wuhan Institute of Virology, Wuhan     | \$76,301 (1 year) |

Chinese collaborators also located at:

East China Normal University, Shanghai receiving consultant costs for \$49,750 (1 year)

---

**From:** "Bettencourt, Alice (HHS/ASFR)" <(b) (6)>  
**Date:** Monday, April 20, 2020 at 4:49 PM  
**To:** "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Subrecipients Under FAIN R01AI110964

Mike, Michelle,

OMB has requested via Jen M. to know if there are subrecipients to Ecohealth Alliance under the subject FAIN. No subrecipients are reported in USASpending. Could you please have the application checked and let me know. (b) (5)

Thank you,

Alice

**From:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology  
**Sent:** Wed 4/15/2020 6:24:35 AM (UTC-05:00)

So we don't technically fund them directly, the grantee in NY does?

---

**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Date:** Wednesday, April 15, 2020 at 7:23 AM  
**To:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Hi Larry – on the Type 1 total is 749,976. On the Type 2, looks like the total is 76,301 (so far). Thus total is 749,976+76,301=826,277.

It's a subcontract going through New York.

Mike

---

**From:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**Date:** Wednesday, April 15, 2020 at 7:12 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Mike – sorry – what is the total amount Wuhan has received since 2014?

Does the money go to NY and they send to Wuhan or do we send to Wuhan directly.

Thanks  
Larry

---

**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Date:** Wednesday, April 15, 2020 at 7:11 AM  
**To:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Cc:** "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Thanks – just sent you budget details.

Mike

---

**From:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**Date:** Tuesday, April 14, 2020 at 10:12 PM  
**To:** "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Cc:** "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Thanks Emily.  
Looping in Mike Lauer,  
Larry

**From:** "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Date:** Tuesday, April 14, 2020 at 10:11 PM  
**To:** "Tabak, Lawrence (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Marston, Hilary (NIH/NIAID) [E]" <(b) (6)>  
**Subject:** Fwd: Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

I am forwarding draft response below to inquiry from Rubio et al earlier.

PI is Peter Dazsak, Eco Health alliance in NYC. Wuhan subcontract is approximately 74k per year. I will try to find more accurate subcontract numbers.

Sent from my iPad  
Begin forwarded message:

**From:** "Abbey, Lillian (NIH/NIAID) [E]" <(b) (6)>  
**Date:** April 14, 2020 at 4:24:34 PM EDT  
**To:** "Cassetti, Cristina (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Cc:** "Ford, Andrew (NIH/NIAID) [E]" <(b) (6)> "Bateman, Karen (NIH/NIAID) [E]" <(b) (6)> "Werner, Alyssa (NIH/NIAID) [E]" <(b) (6)> "Mulach, Barbara (NIH/NIAID) [E]" <(b) (6)>  
**Subject:** Draft response for review -- FW: Request for information: Senate Qs - Wuhan Institute of Virology

Dear Cristina and Emily,  
Incorporated below in red font is a draft response Andrew developed based on his discussion with Erik. (b) (5)  
[Redacted]  
Also, Andrew provided the attached publication from mid-March, noting that we may want to share it with the OD.

**DRAFT RESPONSE:**

|                        |                                                     |                                     |                          |
|------------------------|-----------------------------------------------------|-------------------------------------|--------------------------|
| <b>Project Number:</b> | 2R01AI110964-06                                     | <b>Contact PI / Project Leader:</b> | DASZAK, PETER            |
| <b>Title:</b>          | UNDERSTANDING THE RISK OF BAT CORONAVIRUS EMERGENCE | <b>Awardee Organization:</b>        | ECOHEALTH ALLIANCE, INC. |

[https://projectreporter.nih.gov/project\\_info\\_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=](https://projectreporter.nih.gov/project_info_description.cfm?aid=9819304&icde=49588715&ddparam=&ddvalue=&ddsub=&cr=1&csb=default&cs=ASC&pball=)

1 What are the goals of the main grant

(b) (5)

2. What are the specific activities supported by the sub to the Wuhan lab and the total costs associated with these activities. Please verify if the creation of recombinant bat in Wuhan is included in their research activities.

(b) (5)

(b) (5)

Total award information is available in Reporter at link above but budget information about subcontracts is not publicly available as these awards are administered by the grantee institution.

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**From:** Crawford, Chase (NIH/NIAID) [E] <(b) (6)>  
**Sent:** Monday, April 13, 2020 5:41 PM  
**To:** NIAID BUGS <(b) (6)>  
**Cc:** Auchincloss, Hugh (NIH/NIAID) [E] <(b) (6)> Harper, Jill (NIH/NIAID) [E]  
<(b) (6)> NIAID OCGR Leg <(b) (6)>  
**Subject:** Request for information: Senate Qs - Wuhan Institute of Virology

Hi BUGS,

Staff to Senator Marco Rubio (R-FL) has forwarded an email to Building 1 from the White Coat Waste Project (see bottom of email chain). The forwarded message links to recent articles in The Daily Mail and the Washington Examiner on NIH support for previous coronavirus studies involving the Wuhan Institute of Virology. Building 1 has asked if NIAID has any information related to this research that we can share with staff to Senators Rubio and Mike Braun (R-IN).

To help us better understand this congressional request, is there any background information that you can provide on the activities discussed in the articles referenced below?

Thanks,  
Chase  
(b) (6)

---

**From:** LaMontagne, Karen (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 13, 2020 4:23 PM  
**To:** NIAID OCGR Leg <(b) (6)>  
**Subject:** Senate Qs - Wuhan Institute of Virology

Hi, NIAID,

Separately, we have heard from the offices of Senators Rubio and Braun about these linked articles:

[White Coat Waste](#)  
[Daily Mail](#)  
[Washington Examiner](#)

Both offices have asked if there's any information we can share with them related to this matter. Thanks in advance for anything you can provide.

Karen

---

**From:** Michelle Mitchell <(b) (6)>  
**Date:** Monday, April 13, 2020 at 3:42 PM  
**To:** Karen LaMontagne <(b) (6)>  
**Subject:** Sen. Rubio question - NIH funding Wuhan virus lab

Hey Karen,

Sen. Rubio's staff, Ansley Rhyne, forwarded the email below that she received regarding NIH funding for the Wuhan

Institute of Virology. Her boss, along with Rep. Gaetz are working on a letter to ensure no taxpayer dollars are sent to that Institute.

Ansley requested our input. Would you ask NIAID for any information on this issue that we could be shared with Ansley?

Thank you.

MM

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**From:** Justin Goodman <[justin@whitecoatwaste.org](mailto:justin@whitecoatwaste.org)>

**Sent:** Monday, April 13, 2020 2:36 PM

**To:**

**Subject:** Laura- NIH funding Wuhan virus lab

I hope you had a nice weekend and are staying safe and healthy. I wanted to make sure you saw that our taxpayer watchdog group just [exposed](#) that **the National Institutes of Health (NIH) has been sending tax dollars to the controversial Wuhan Institute of Virology for years, including for dangerous lab experiments on coronavirus-infected bats captured from caves.** The [Daily Mail](#), [Washington Examiner](#), Drudge and others ran stories about the troubling find over the weekend.

We're working with Rep. Matt Gaetz (R-FL) and others on a sign-on letter about this and would love to work with you and Senator Rubio as well to ensure no more tax dollars are shipped to the Wuhan Institute of Virology.

I'd be happy to send over more info if you're interested and answer any questions you may have.

Thanks for looking,

Justin

---

**Justin Goodman, M.A.**

Vice President, Advocacy and Public Policy  
White Coat Waste Project

*Taxpayers shouldn't be forced to pay \$20 billion+  
for **wasteful** government animal experiments.*

PO Box 26029  
Washington, DC 20001  
Phone: 860.882.2492

[Donate](#) | [Blog](#) | [Web](#) | [Twitter](#) | [Facebook](#)

**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**To:** Peter Daszak <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Sent:** Tue 4/21/2020 6:28:20 PM (UTC-05:00)  
[EcoHealth Alliance re AI grant 4 19 20\[2\].pdf](#)  
[NoA R01AI110964-06.pdf](#)  
[NoA R01AI110964-01.pdf](#)

Many thanks Peter for your response.

We note that:

- No monies have gone to WIV on the Type 2 award and no contract has been signed.
- You agree that you will not provide any funds to WIV until and unless directed otherwise by NIH.
- All foreign sites for the Type 1 and Type 2 awards have been documented in the progress reports submitted to NIH.

We appreciate your working with us.

Best, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Peter Daszak <(b) (6)>  
**Date:** Tuesday, April 21, 2020 at 7:07 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records
2. My Program Officer for this award, Dr. Erik Stemmy & the Division Director (DMID), Dr. Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds from 2R01AI110964-06 have been sent to Wuhan Institute of Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course.

Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in



Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

**Peter Daszak**  
*President*

EcoHealth Alliance  
460 West 34<sup>th</sup> Street  
New York, NY 10001  
USA

Tel.: (b) (6)  
Website: [www.ecohealthalliance.org](http://www.ecohealthalliance.org)  
Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

*EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation*

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 4:31 PM  
**To:** Kevin Olival <(b) (6)> Peter Daszak <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI's and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an "Affiliation/Department"). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.
- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Kevin Olival <(b) (6)>  
**Date:** Monday, April 20, 2020 at 4:14 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06



Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak (b) (6) who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,  
Kevin

**Kevin J. Olival, PhD**  
*Vice President for Research*

EcoHealth Alliance  
460 West 34th Street, Suite 1701  
New York, NY 10001

(b) (6) (direct)  
(b) (6) (mobile)  
1.212.380.4465 (fax)

[www.ecohealthalliance.org](http://www.ecohealthalliance.org)

EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

---

**From:** Naomi Schrag <(b) (6)>  
**Date:** Sunday, April 19, 2020 at 11:59 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)"  
<(b) (6)> Naomi Schrag <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,  
I am acknowledging receipt of this letter and will get back to you as soon as I can.  
Sincerely,  
Naomi Schrag

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Sunday, April 19, 2020 11:00 AM  
**To:** (b) (6) Naomi Schrag <(b) (6)>  
**Cc:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Subject:** Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

Date: April 19, 2020

From: Michael S Lauer, MD  
NIH Deputy Director for Extramural Research

Lauer, Michael  
(NIH/OD) [E]  
Digitally signed by Lauer,  
Michael (NIH/OD) [E]  
Date: 2020.04.19 10:47:40  
-04'00'

To: Kevin Olival, PhD  
Vice-President for Research  
EcoHealth Alliance  
(b) (6)

Naomi Schrag, JD  
Vice-President for Research Compliance, Training, and Policy  
Columbia University  
(b) (6)

Subject: Project Number 2R01AI110964-06

Dear Dr. Olival and Ms. Schrag:

EcoHealth Alliance, Inc. is the recipient, as grantee, of an NIH grant entitled “Understanding the Risk of Bat Coronavirus Emergence.” It is our understanding that one of the sub-recipients of the grant funds is the Wuhan Institute of Virology (“WIV”). It is our understanding that WIV studies the interaction between corona viruses and bats. The scientific community believes that the coronavirus causing COVID-19 jumped from bats to humans likely in Wuhan where the COVID-19 pandemic began. There are now allegations that the current crisis was precipitated by the release from WIV of the coronavirus responsible for COVID-19. Given these concerns, we are pursuing suspension of WIV from participation in Federal programs.

While we review these allegations during the period of suspension, you are instructed to cease providing any funds from the above noted grant to the WIV. This temporary action is authorized by 45 C.F.R. § 75.371(d) (“Initiate suspension or debarment proceedings as authorized under 2 C.F.R. part 180”). The incorporated OMB provision provides that the funding agency may, through suspension, immediately and temporarily exclude from Federal programs persons who are not presently responsible where “immediate action is necessary to protect the public interest.” 2 C.F.R. § 180.700(c). It is in the public interest that NIH ensure that a sub-recipient has taken all appropriate precautions to prevent the release of pathogens that it is studying. This suspension of the sub-recipient does not affect the remainder of your grant assuming that no grant funds are provided to WIV following receipt of this email during the period of suspension.



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

**Grant Number:** 2R01AI110964-06 REVISED

**FAIN:** R01AI110964

**Principal Investigator(s):**

PETER DASZAK, PHD

**Project Title:** Understanding the Risk of Bat Coronavirus Emergence

Dr. Daszak, Peter  
PD/PI  
460 West 34th Street  
Suite 1701  
New York, NY 100012320

**Award e-mailed to:** (b) (6)

**Period Of Performance:**

**Budget Period:** 07/24/2019 – 06/30/2020

**Project Period:** 06/01/2014 – 06/30/2024

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect a decrease in the amount of \$71,770 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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 your ,

Tseday G Girma  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

**SECTION I – AWARD DATA – 2R01AI110964-06 REVISED****Award Calculation (U.S. Dollars)**

|                                        |           |
|----------------------------------------|-----------|
| Salaries and Wages                     | \$170,123 |
| Fringe Benefits                        | \$53,590  |
| Personnel Costs (Subtotal)             | \$223,713 |
| Consultant Services                    | \$49,750  |
| Materials & Supplies                   | \$20,850  |
| Travel                                 | \$15,027  |
| Subawards/Consortium/Contractual Costs | \$229,651 |

|                                                         |                  |
|---------------------------------------------------------|------------------|
| Federal Direct Costs                                    | \$538,991        |
| Federal F&A Costs                                       | \$122,989        |
| Approved Budget                                         | \$661,980        |
| Total Amount of Federal Funds Obligated (Federal Share) | \$661,980        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                       | <b>\$661,980</b> |

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** (\$-71,770)

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 6                            | \$661,980  | \$661,980         |
| 7                            | \$637,980  | \$637,980         |
| 8                            | \$637,980  | \$637,980         |
| 9                            | \$637,980  | \$637,980         |
| 10                           | \$637,980  | \$637,980         |

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

**Fiscal Information:**

**CFDA Name:** Allergy and Infectious Diseases Research  
**CFDA Number:** 93.855  
**EIN:** 1311726494A1  
**Document Number:** RAI110964B  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2019

| IC | CAN     | 2019      | 2020      | 2021      | 2022      | 2023      |
|----|---------|-----------|-----------|-----------|-----------|-----------|
| AI | 8472364 | \$661,980 | \$637,980 | \$637,980 | \$637,980 | \$637,980 |

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

**NIH Administrative Data:**

**PCC:** M51C B / **OC:** 414B / **Released:** (b) (6) 08/02/2019  
**Award Processed:** 08/05/2019 12:01:51 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 2R01AI110964-06 REVISED**

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

**SECTION III – TERMS AND CONDITIONS – 2R01AI110964-06 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:

- 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.

- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

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

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

This 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) R01AI110964. 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 include 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://publicacces.nih.gov/>

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipient organizations that have currently active Federal grant, cooperative agreement, 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 II to 45 CFR Part 75. This term does not apply to NIH fellowships.



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**SECTION IV – AI Special Terms and Conditions – 2R01AI110964-06 REVISED**

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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 adjust the budget in accordance with the letter from Aleksei Chmura/ECOHealth Alliance.

Supersedes previous Notice of Award dated **07/24/2019**.

\*\*\*\*\*

This Notice of Award (NoA) includes funds for activity with **The University of North Carolina at Chapel Hill** in the amount of **\$77,750 (\$50,000 direct costs + \$27,750 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Wuhan Institute of Virology** in the amount of **\$76,301 (\$70,649 direct costs + \$5,652 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Institute of Pathogen Biology** in the amount of **\$75,600 (\$70,000 direct costs + \$5,600 F&A costs)**.

\*\*\*\*\*

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:

Wuhan Institute of Virology, CHINA

Institute of Pathogen Biology, CHINA

East China Normal University, CHINA

Duke-NUS Medical School, SINGAPORE

\*\*\*\*\*

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

\*\*\*\*\*

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.

\*\*\*\*\*

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

\*\*\*\*\*

Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated in the page(s) **203** 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.

\*\*\*\*\*

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.

\*\*\*\*\*

Awardees who conduct research involving Select Agents (see 42 CFR 73 for the Select Agent list; and 7 CFR 331 and 9 CFR 121 for the relevant animal and plant pathogens at <http://www.selectagents.gov/Regulations.html>) must complete registration with CDC (or APHIS, depending on the agent) before using NIH funds. No funds can be used for research involving Select Agents if the final registration certificate is denied.

Prior to conducting a restricted experiment with a Select Agent or Toxin, awardees must notify the NIAID and must request and receive approval from CDC or APHIS.

\*\*\*\*\*

#### 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 Report 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 point

Any change in the use of the Agent( ) or Toxin( ) including 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( ) 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.

## 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:** Tseday G Girma

**Email:** (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

**Program Official:** Erik J. Stemmy

**Email:** (b) (6) **Phone:** (b) (6)

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 2R01AI110964-06 REVISED

**INSTITUTION:** ECOHEALTH ALLIANCE, INC.

| Budget                                | Year 6    | Year 7    | Year 8    | Year 9    | Year 10   |
|---------------------------------------|-----------|-----------|-----------|-----------|-----------|
| Salaries and Wages                    | \$170,123 | \$170,123 | \$170,123 | \$170,123 | \$170,123 |
| Fringe Benefits                       | \$53,590  | \$53,590  | \$53,590  | \$53,590  | \$53,590  |
| Personnel Costs (Subtotal)            | \$223,713 | \$223,713 | \$223,713 | \$223,713 | \$223,713 |
| Consultant Services                   | \$49,750  | \$49,750  | \$49,750  | \$49,750  | \$49,750  |
| Materials & Supplies                  | \$20,850  | \$14,850  | \$14,850  | \$14,850  | \$14,850  |
| Travel                                | \$15,027  | \$15,027  | \$15,027  | \$15,027  | \$15,027  |
| Subawards/Consortium/Contractual Co t | \$229,651 | \$229,651 | \$229,651 | \$229,651 | \$229,651 |
| Publication Co t                      |           | \$6,000   | \$6,000   | \$6,000   | \$6,000   |
| TOTAL FEDERAL DC                      | \$538,991 | \$538,991 | \$538,991 | \$538,991 | \$538,991 |
| TOTAL FEDERAL F&A                     | \$122,989 | \$98,989  | \$98,989  | \$98,989  | \$98,989  |
| TOTAL COST                            | \$661,980 | \$637,980 | \$637,980 | \$637,980 | \$637,980 |

| Facilitie and Admini trative Co t | Year 6    | Year 7    | Year 8    | Year 9    | Year 10   |
|-----------------------------------|-----------|-----------|-----------|-----------|-----------|
| F&A Co t Rate 1                   | 32%       | 32%       | 32%       | 32%       | 32%       |
| F&A Co t Ba e 1                   | \$384,340 | \$309,340 | \$309,340 | \$309,340 | \$309,340 |
| F&A Co t 1                        | \$122,989 | \$98,989  | \$98,989  | \$98,989  | \$98,989  |



**Grant Number:** 1R01AI110964-01  
**FAIN:** R01AI110964

**Principal Investigator(s):**  
PETER DASZAK, PHD

**Project Title:** Understanding the Risk of Bat Coronavirus Emergence

Aleksei  
President  
460 West 34th Street  
17th Floor  
New York, NY 100012317

**Award e-mailed to:** (b) (6)

**Budget Period:** 06/01/2014 – 05/31/2015  
**Project Period:** 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$666,442 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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,

Laura A. Pone  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

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**SECTION I – AWARD DATA – 1R01AI110964-01****Award Calculation (U.S. Dollars)**

|                             |           |
|-----------------------------|-----------|
| Salaries and Wages          | \$167,708 |
| Fringe Benefits             | \$54,168  |
| Supplies                    | \$21,400  |
| Travel Costs                | \$35,918  |
| Other Costs                 | \$10,000  |
| Consortium/Contractual Cost | \$227,663 |

|                                   |                  |
|-----------------------------------|------------------|
| Federal Direct Costs              | \$516,857        |
| Federal F&A Costs                 | \$149,585        |
| Approved Budget                   | \$666,442        |
| Federal Share                     | \$666,442        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b> | <b>\$666,442</b> |

|                                              |                  |
|----------------------------------------------|------------------|
| <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b> | <b>\$666,442</b> |
|----------------------------------------------|------------------|

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 1                            | \$666,442  | \$666,442         |
| 2                            | \$630,445  | \$630,445         |
| 3                            | \$611,090  | \$611,090         |
| 4                            | \$597,112  | \$597,112         |
| 5                            | \$581,646  | \$581,646         |

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

**Fiscal Information:**

|                  |              |
|------------------|--------------|
| CFDA Number:     | 93.855       |
| EIN:             | 1311726494A1 |
| Document Number: | RAI110964A   |

|                   |                |
|-------------------|----------------|
| PMS Account Type: | P (Subaccount) |
| Fiscal Year:      | 2014           |

| IC | CAN     | 2014      | 2015      | 2016      | 2017      | 2018      |
|----|---------|-----------|-----------|-----------|-----------|-----------|
| AI | 8472350 | \$666,442 | \$630,445 | \$611,090 | \$597,112 | \$581,646 |

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

**NIH Administrative Data:**

PCC: M51C / OC: 414A / Released: (b) (6) 05/20/2014

Award Processed: 05/08/2014 01:52:21 PM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01AI110964-01**

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

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**SECTION III – TERMS AND CONDITIONS – 1R01AI110964-01**

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

- a. The grant program legislation and program regulation cited in this Notice of Award.

- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. 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.)

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 Central Contractor Registration. 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) R01AI110964. 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://publicacces.nih.gov/>

**Treatment of Program Income:**  
Additional Comments

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**SECTION IV – AI Special Terms and Conditions – 1R01AI110964-01**

THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF AWARD.

RESTRICTION: This award is issued with the knowledge that subjects may be involved within the period of support, but definite plans were not set forth in the application as per 45 CFR 46.118. No human subjects may be involved in any project supported by this award until all requirements for Human Subjects research as identified in the PHS398/SF424 Instructions have been provided to and approved by NIH.

RESTRICTION: The present award is being made without a currently valid certification of IRB approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the NIAID's acceptance of the certification of IRB review and approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects prior to the NIAID's notification to the grantee that the identified issues have been resolved and this restriction removed.



~~~~~  
This award includes funds for subcontract/consortium activity with Wuhan Institute of Virology, CHINA and is budgeted as follows:

	-Yr 1	-Yr 2	-Yr 3	-Yr 4	-Yr 5
Total Direct Costs	\$123,699	\$128,718	\$147,335	\$147,335	\$147,335
F&A Costs @ 8%(MTDC)	\$9,896	\$10,297	\$11,787	\$11,787	\$11,787
TOTAL COSTS	\$133,595	\$139,015	\$159,122	\$159,122	\$159,122

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~  
This award includes funds for subcontract/consortium activity with East China Normal University, CHINA and is budgeted as follows:

|                      | -Yr 1    | -Yr 2    | -Yr 3    | -Yr 4    | -Yr 5    |
|----------------------|----------|----------|----------|----------|----------|
| Total Direct Costs   | \$87,100 | \$67,300 | \$50,108 | \$39,167 | \$14,850 |
| F&A Costs @ 8%(MTDC) | \$6,968  | \$5,384  | \$4,009  | \$3,133  | \$2,404  |
| TOTAL COSTS          | \$94,068 | \$72,684 | \$54,117 | \$42,300 | \$32,454 |

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

#### ~~~~~ 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 a change in ongoing experiment that would require change in the bio safety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individual who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.electagent.gov/Regulation.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/oh/biofty/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 Bio safety 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 Agent and/or Highly Pathogenic Agent, 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.

## 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:** Laura A. Pone

**Email:** (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

**Program Official:** Erik J. Stemmy

**Email:** (b) (6) **Phone:** (b) (6)

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 1R01AI110964-01

**INSTITUTION:** ECOHEALTH ALLIANCE, INC.

| Budget                      | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|-----------------------------|-----------|-----------|-----------|-----------|-----------|
| Salaries and Wages          | \$167,708 | \$167,708 | \$167,708 | \$167,708 | \$167,708 |
| Fringe Benefit              | \$54,168  | \$54,168  | \$54,168  | \$54,168  | \$54,168  |
| Supplies                    | \$21,400  | \$19,250  | \$7,250   | \$7,000   | \$3,500   |
| Travel Cost                 | \$35,918  | \$35,918  | \$35,918  | \$35,918  | \$35,918  |
| Other Cost                  | \$10,000  | \$13,550  | \$11,050  | \$9,800   | \$9,400   |
| Contingent/Contractual Cost | \$227,663 | \$211,699 | \$213,239 | \$201,422 | \$191,576 |
| TOTAL FEDERAL DC            | \$516,857 | \$502,293 | \$489,333 | \$476,016 | \$462,270 |
| TOTAL FEDERAL F&A           | \$149,585 | \$128,152 | \$121,757 | \$121,096 | \$119,376 |
| TOTAL COST                  | \$666,442 | \$630,445 | \$611,090 | \$597,112 | \$581,646 |

| Facilities and Administrative Cost | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|------------------------------------|-----------|-----------|-----------|-----------|-----------|
| F&A Cost Rate 1                    | 44.1%     | 44.1%     | 44.1%     | 44.1%     | 44.1%     |
| F&A Cost Base 1                    | \$339,194 | \$290,594 | \$276,094 | \$274,594 | \$270,694 |
| F&A Cost 1                         | \$149,585 | \$128,152 | \$121,757 | \$121,096 | \$119,376 |



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

**Grant Number:** 2R01AI110964-06 REVISED

**FAIN:** R01AI110964

**Principal Investigator(s):**

PETER DASZAK, PHD

**Project Title:** Understanding the Risk of Bat Coronavirus Emergence

Dr. Daszak, Peter  
PD/PI  
460 West 34th Street  
Suite 1701  
New York, NY 100012320

**Award e-mailed to:** (b) (6)

**Period Of Performance:**

**Budget Period:** 07/24/2019 – 06/30/2020

**Project Period:** 06/01/2014 – 06/30/2024

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect a decrease in the amount of \$71,770 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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 your ,

Tseday G Girma  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

**SECTION I – AWARD DATA – 2R01AI110964-06 REVISED****Award Calculation (U.S. Dollars)**

|                                        |           |
|----------------------------------------|-----------|
| Salaries and Wages                     | \$170,123 |
| Fringe Benefits                        | \$53,590  |
| Personnel Costs (Subtotal)             | \$223,713 |
| Consultant Services                    | \$49,750  |
| Materials & Supplies                   | \$20,850  |
| Travel                                 | \$15,027  |
| Subawards/Consortium/Contractual Costs | \$229,651 |

|                                                         |                  |
|---------------------------------------------------------|------------------|
| Federal Direct Costs                                    | \$538,991        |
| Federal F&A Costs                                       | \$122,989        |
| Approved Budget                                         | \$661,980        |
| Total Amount of Federal Funds Obligated (Federal Share) | \$661,980        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                       | <b>\$661,980</b> |

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** (\$-71,770)

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 6                            | \$661,980  | \$661,980         |
| 7                            | \$637,980  | \$637,980         |
| 8                            | \$637,980  | \$637,980         |
| 9                            | \$637,980  | \$637,980         |
| 10                           | \$637,980  | \$637,980         |

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

**Fiscal Information:**

**CFDA Name:** Allergy and Infectious Diseases Research  
**CFDA Number:** 93.855  
**EIN:** 1311726494A1  
**Document Number:** RAI110964B  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2019

| IC | CAN     | 2019      | 2020      | 2021      | 2022      | 2023      |
|----|---------|-----------|-----------|-----------|-----------|-----------|
| AI | 8472364 | \$661,980 | \$637,980 | \$637,980 | \$637,980 | \$637,980 |

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

**NIH Administrative Data:**

**PCC:** M51C B / **OC:** 414B / **Released:** (b) (6) 08/02/2019  
**Award Processed:** 08/05/2019 12:01:51 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 2R01AI110964-06 REVISED**

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

**SECTION III – TERMS AND CONDITIONS – 2R01AI110964-06 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:

- 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.

- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

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

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

This 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) R01AI110964. 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 include 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 grant, cooperative agreement, 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 II to 45 CFR Part 75. This term does not apply to NIH fellowships.

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**SECTION IV – AI Special Terms and Conditions – 2R01AI110964-06 REVISED**

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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 adjust the budget in accordance with the letter from Aleksei Chmura/ECOHealth Alliance.

Supersedes previous Notice of Award dated **07/24/2019**.

\*\*\*\*\*

This Notice of Award (NoA) includes funds for activity with **The University of North Carolina at Chapel Hill** in the amount of **\$77,750 (\$50,000 direct costs + \$27,750 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Wuhan Institute of Virology** in the amount of **\$76,301 (\$70,649 direct costs + \$5,652 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Institute of Pathogen Biology** in the amount of **\$75,600 (\$70,000 direct costs + \$5,600 F&A costs)**.

\*\*\*\*\*

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:

Wuhan Institute of Virology, CHINA

Institute of Pathogen Biology, CHINA

East China Normal University, CHINA

Duke-NUS Medical School, SINGAPORE

\*\*\*\*\*

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

\*\*\*\*\*

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.

\*\*\*\*\*

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

\*\*\*\*\*

Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated in the page(s) **203** 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.

\*\*\*\*\*

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.

\*\*\*\*\*

Awardees who conduct research involving Select Agents (see 42 CFR 73 for the Select Agent list; and 7 CFR 331 and 9 CFR 121 for the relevant animal and plant pathogens at <http://www.selectagents.gov/Regulations.html>) must complete registration with CDC (or APHIS, depending on the agent) before using NIH funds. No funds can be used for research involving Select Agents if the final registration certificate is denied.

Prior to conducting a restricted experiment with a Select Agent or Toxin, awardees must notify the NIAID and must request and receive approval from CDC or APHIS.

\*\*\*\*\*

#### 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/bmbl5/bmbl5toc.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 Report 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 point

Any change in the use of the Agent( ) or Toxin( ) including 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( ) 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.

## 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:** Tseday G Girma

**Email:** (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

**Program Official:** Erik J. Stemmy

**Email:** (b) (6) **Phone:** (b) (6)

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 2R01AI110964-06 REVISED

**INSTITUTION:** ECOHEALTH ALLIANCE, INC.

| Budget                                | Year 6    | Year 7    | Year 8    | Year 9    | Year 10   |
|---------------------------------------|-----------|-----------|-----------|-----------|-----------|
| Salaries and Wages                    | \$170,123 | \$170,123 | \$170,123 | \$170,123 | \$170,123 |
| Fringe Benefits                       | \$53,590  | \$53,590  | \$53,590  | \$53,590  | \$53,590  |
| Personnel Costs (Subtotal)            | \$223,713 | \$223,713 | \$223,713 | \$223,713 | \$223,713 |
| Consultant Services                   | \$49,750  | \$49,750  | \$49,750  | \$49,750  | \$49,750  |
| Materials & Supplies                  | \$20,850  | \$14,850  | \$14,850  | \$14,850  | \$14,850  |
| Travel                                | \$15,027  | \$15,027  | \$15,027  | \$15,027  | \$15,027  |
| Subawards/Consortium/Contractual Co t | \$229,651 | \$229,651 | \$229,651 | \$229,651 | \$229,651 |
| Publication Co t                      |           | \$6,000   | \$6,000   | \$6,000   | \$6,000   |
| TOTAL FEDERAL DC                      | \$538,991 | \$538,991 | \$538,991 | \$538,991 | \$538,991 |
| TOTAL FEDERAL F&A                     | \$122,989 | \$98,989  | \$98,989  | \$98,989  | \$98,989  |
| TOTAL COST                            | \$661,980 | \$637,980 | \$637,980 | \$637,980 | \$637,980 |

| Facilitie and Admini trative Co t | Year 6    | Year 7    | Year 8    | Year 9    | Year 10   |
|-----------------------------------|-----------|-----------|-----------|-----------|-----------|
| F&A Co t Rate 1                   | 32%       | 32%       | 32%       | 32%       | 32%       |
| F&A Co t Ba e 1                   | \$384,340 | \$309,340 | \$309,340 | \$309,340 | \$309,340 |
| F&A Co t 1                        | \$122,989 | \$98,989  | \$98,989  | \$98,989  | \$98,989  |



**Grant Number:** 1R01AI110964-01  
**FAIN:** R01AI110964

**Principal Investigator(s):**  
PETER DASZAK, PHD

**Project Title:** Understanding the Risk of Bat Coronavirus Emergence

Aleksei  
President  
460 West 34th Street  
17th Floor  
New York, NY 100012317

**Award e-mailed to:** (b) (6)

**Budget Period:** 06/01/2014 – 05/31/2015  
**Project Period:** 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$666,442 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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,

Laura A. Pone  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

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**SECTION I – AWARD DATA – 1R01AI110964-01****Award Calculation (U.S. Dollars)**

|                             |           |
|-----------------------------|-----------|
| Salaries and Wages          | \$167,708 |
| Fringe Benefits             | \$54,168  |
| Supplies                    | \$21,400  |
| Travel Costs                | \$35,918  |
| Other Costs                 | \$10,000  |
| Consortium/Contractual Cost | \$227,663 |

|                                   |                  |
|-----------------------------------|------------------|
| Federal Direct Costs              | \$516,857        |
| Federal F&A Costs                 | \$149,585        |
| Approved Budget                   | \$666,442        |
| Federal Share                     | \$666,442        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b> | <b>\$666,442</b> |

|                                              |                  |
|----------------------------------------------|------------------|
| <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b> | <b>\$666,442</b> |
|----------------------------------------------|------------------|

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 1                            | \$666,442  | \$666,442         |
| 2                            | \$630,445  | \$630,445         |
| 3                            | \$611,090  | \$611,090         |
| 4                            | \$597,112  | \$597,112         |
| 5                            | \$581,646  | \$581,646         |

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

**Fiscal Information:**

|                  |              |
|------------------|--------------|
| CFDA Number:     | 93.855       |
| EIN:             | 1311726494A1 |
| Document Number: | RAI110964A   |

|                   |                |
|-------------------|----------------|
| PMS Account Type: | P (Subaccount) |
| Fiscal Year:      | 2014           |

| IC | CAN     | 2014      | 2015      | 2016      | 2017      | 2018      |
|----|---------|-----------|-----------|-----------|-----------|-----------|
| AI | 8472350 | \$666,442 | \$630,445 | \$611,090 | \$597,112 | \$581,646 |

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

**NIH Administrative Data:**

PCC: M51C / OC: 414A / Released: (b) (6) 05/20/2014

Award Processed: 05/08/2014 01:52:21 PM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01AI110964-01**

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

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**SECTION III – TERMS AND CONDITIONS – 1R01AI110964-01**

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

- a. The grant program legislation and program regulation cited in this Notice of Award.

- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. 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.)

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 Central Contractor Registration. 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) R01AI110964. 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://publicacces.nih.gov/>

**Treatment of Program Income:**  
Additional Cost

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**SECTION IV – AI Special Terms and Conditions – 1R01AI110964-01**

THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF AWARD.

RESTRICTION: This award is issued with the knowledge that subjects may be involved within the period of support, but definite plans were not set forth in the application as per 45 CFR 46.118. No human subjects may be involved in any project supported by this award until all requirements for Human Subjects research as identified in the PHS398/SF424 Instructions have been provided to and approved by NIH.

RESTRICTION: The present award is being made without a currently valid certification of IRB approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the NIAID's acceptance of the certification of IRB review and approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects prior to the NIAID's notification to the grantee that the identified issues have been resolved and this restriction removed.

~~~~~  
This award includes funds for subcontract/consortium activity with Wuhan Institute of Virology, CHINA and is budgeted as follows:

	-Yr 1	-Yr 2	-Yr 3	-Yr 4	-Yr 5
Total Direct Costs	\$123,699	\$128,718	\$147,335	\$147,335	\$147,335
F&A Costs @ 8%(MTDC)	\$9,896	\$10,297	\$11,787	\$11,787	\$11,787
TOTAL COSTS	\$133,595	\$139,015	\$159,122	\$159,122	\$159,122

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~  
This award includes funds for subcontract/consortium activity with East China Normal University, CHINA and is budgeted as follows:

|                      | -Yr 1    | -Yr 2    | -Yr 3    | -Yr 4    | -Yr 5    |
|----------------------|----------|----------|----------|----------|----------|
| Total Direct Costs   | \$87,100 | \$67,300 | \$50,108 | \$39,167 | \$14,850 |
| F&A Costs @ 8%(MTDC) | \$6,968  | \$5,384  | \$4,009  | \$3,133  | \$2,404  |
| TOTAL COSTS          | \$94,068 | \$72,684 | \$54,117 | \$42,300 | \$32,454 |

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

#### ~~~~~ 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 a change in an ongoing experiment that would require change in the bio safety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individual who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.electagent.gov/Regulation.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/oh/biofty/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 Bio safety 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 Agent and/or Highly Pathogenic Agent, 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.

## 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:** Laura A. Pone

**Email:** (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

**Program Official:** Erik J. Stemmy

**Email:** (b) (6) **Phone:** (b) (6)

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 1R01AI110964-01

**INSTITUTION:** ECOHEALTH ALLIANCE, INC.

| Budget                      | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|-----------------------------|-----------|-----------|-----------|-----------|-----------|
| Salaries and Wages          | \$167,708 | \$167,708 | \$167,708 | \$167,708 | \$167,708 |
| Fringe Benefit              | \$54,168  | \$54,168  | \$54,168  | \$54,168  | \$54,168  |
| Supplies                    | \$21,400  | \$19,250  | \$7,250   | \$7,000   | \$3,500   |
| Travel Cost                 | \$35,918  | \$35,918  | \$35,918  | \$35,918  | \$35,918  |
| Other Cost                  | \$10,000  | \$13,550  | \$11,050  | \$9,800   | \$9,400   |
| Contingent/Contractual Cost | \$227,663 | \$211,699 | \$213,239 | \$201,422 | \$191,576 |
| TOTAL FEDERAL DC            | \$516,857 | \$502,293 | \$489,333 | \$476,016 | \$462,270 |
| TOTAL FEDERAL F&A           | \$149,585 | \$128,152 | \$121,757 | \$121,096 | \$119,376 |
| TOTAL COST                  | \$666,442 | \$630,445 | \$611,090 | \$597,112 | \$581,646 |

| Facilities and Administrative Cost | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|------------------------------------|-----------|-----------|-----------|-----------|-----------|
| F&A Cost Rate 1                    | 44.1%     | 44.1%     | 44.1%     | 44.1%     | 44.1%     |
| F&A Cost Base 1                    | \$339,194 | \$290,594 | \$276,094 | \$274,594 | \$270,694 |
| F&A Cost 1                         | \$149,585 | \$128,152 | \$121,757 | \$121,096 | \$119,376 |

QVR FACTS

FACTS Data Snapshot for: 2-R01-AI110964-06 (DASZAK, PETER)  
Understanding the Risk of Bat Coronavirus Emergence

PRINTCLOSE

Appl Id: 9819304

Launch the FACTS System [FACTS](#)

Hop to Country [Project Information](#) [CHINA](#) [SINGAPORE](#)

|                   |                                                                                            |
|-------------------|--------------------------------------------------------------------------------------------|
| Project Info      |                                                                                            |
| Project Number    | 2-R01-AI110964-06 (as reflected under competing project number 2-R01-AI110964-06 in FACTS) |
| PI Name           | DASZAK, PETER                                                                              |
| Org Name          | ECOHEALTH ALLIANCE, INC.                                                                   |
| Project Title     | Understanding the Risk of Bat Coronavirus Emergence                                        |
| FY/Project Dates  | 2019 (Project Period from 2014-06-01 to 2024-06-30)                                        |
| Project Status    | Awarded (05)                                                                               |
| Foreign Appl Flag | Domestic Application with Foreign Collaboration (Z)                                        |

CHINA

|                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                           |                                                     |                                                                                                                                                |                                                                                                                                     |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| State Department Clearance Request (SDCR ID 219890)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | NIAID Contact                                       | SDCR ACTIONS                                                                                                                                   | ACTION DATES                                                                                                                        |
| <div>Click the - to hide the Research Objective listed on State Department Clearance.</div> <div>This work is an extension and renewal of a previous award, approved under clearances 202191 and 211200. The aims of this research project are to examine the mechanism through which coronaviruses (CoVs) jump from animal hosts/reservoirs to humans (spillover events). To accomplish this work the PI and his team will conduct detailed surveillance for coronaviruses in four provinces: Yunnan, Guizhou, Guangxi, and Guangdong. The exact sites have not yet been identified; as in the previous award, sites will be selected from the four provinces as work progresses. Surveillance will include sampling of wild bat populations. Samples will be collected from animals from each of these sites, and will be analyzed to determine what coronaviruses are present, and whether the viruses are able to infect humans. The investigators plan to collect samples from bats, approximately 5,000 samples total from 15-20 species across all four provinces. Animals will be captured and lightly anesthetized if necessary. They will be swabbed (mouth/nose, urogenital tract, and rectum), and a small amount of blood will be collected. If available, feces and urine will also be collected. Nearly all wild bats will be released unharmed after sampling. A small number of bats (maximum of 2 per species) may be euthanized in order to collect lung and intestinal tissue required for characterizing viral receptors. In order to understand whether select strains of bat-borne CoVs utilize receptors found in bats have the potential to infect people, the investigators will use mice that have been genetically modified to express the human receptor for SARS-CoV. The investigators anticipate identifying 5-6 SARS-related-CoVs that will be tested in mice, using approximately 15-20 mice per virus strain. A maximum of 120 mice will be used for this work over the project. All work involving samples and viral isolates from bats will be performed at the Wuhan Institute of Virology. All animal work will be performed by trained individuals in accordance with the American Veterinary Medical Association guidelines, and the project is overseen by veterinarians. This work has also been reviewed and approved by the investigator's Institutional Animal Care and Use Committee. This project will also study human exposure to animal coronaviruses across the same four provinces in southern China. Samples will be collected from each of these sites from individuals who 1) who are highly exposed to bats in community settings, including through hunting, butchering, or general handling within the context of their living or working environment (18+ years old); and 2) patients admitted to hospitals and clinics presenting with disease symptoms of clinically-defined severe/acute respiratory illness (SARI/ARI) or Influenza-like illness (ILI) of unknown origin (12+ years old). Subjects will be enrolled on a voluntary basis and informed consent will be obtained from all participants. Consenting participants will provide biological samples and complete a questionnaire at the time of acute illness and 35 days after resolution of illness. There will be no follow-up among community participants after initial sample collection. The study population will be selected from the Yunnan, Guangxi, Guangdong, and Guizhou provinces of China. They plan to enroll: 1) in 12 clinic sites across the four provinces, 2,750 individuals (accounting for an estimated 40% loss from follow-up); and 2) in 8 community sites, 1,650 individuals per each of the four provinces, pooled across two sites for each province for a total of 6,660 participants. Enrollment is anticipated to be 100% Asian, with a 50/50 split between males and females. All human subject work will be managed by the team at the Institute for Pathogen Biology.</div> | <div>Bernabe, Gayle</div> <div>Phone: (b) (6)</div> | <div>Approved</div> <div>Approve</div> <div>Submit to State Department</div> <div>Send to Agency</div> <div>IC Update</div> <div>IC Save</div> | <div>2019-05-30</div> <div>2019-05-30</div> <div>2019-05-29</div> <div>2019-05-28</div> <div>2019-05-24</div> <div>2019-05-10</div> |

|                                                                                                                                                   |                                               |               |            |             |               |
|---------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|---------------|------------|-------------|---------------|
| Collaborator/Site (Site ID: 262251)<br>HU, BEN<br>WUHAN INSTITUTE OF VIROLOGY<br>Xiao Hong SHan, No. 44<br>Wuchang District<br>Wuhan 430071       | Site Flags<br>Animals: Y<br>FWA:<br>Humans: N | Budget Period | Budget Amt | Verified By | Verified Date |
| Collaborator/Site (Site ID: 261948)<br>SHI, ZHENG LI<br>WUHAN INSTITUTE OF VIROLOGY<br>Xiao Hong SHan, No. 44<br>Wuchang District<br>Wuhan 430071 | Site Flags<br>Animals: Y<br>FWA:<br>Humans: N | Budget Period | Budget Amt | Verified By | Verified Date |
| Collaborator/Site (Site ID: 262250)<br>ZHOU, PENG<br>WUHAN INSTITUTE OF VIROLOGY<br>Xiao Hong SHan, No. 44<br>Wuchang District<br>Wuhan 430071    | Site Flags<br>Animals: Y<br>FWA:<br>Humans: N | Budget Period | Budget Amt | Verified By | Verified Date |

## SINGAPORE

## State Department Clearance Request (SDCR ID 219753)

## NIAID Contact

## SDCR ACTIONS

## ACTION DATES

Click the + to show the Research Objective listed on State Department Clearance

[Bernabe, Gayle](#)  
Phone: 301-451-1018

**Approved**  
Auto Approval  
Send to Agency  
Submit to State Department  
IC Save

2019-05-20  
2019-05-20  
2019-05-06  
2019-05-06  
2019-05-01

|                                                                                                                     |                                               |               |            |             |               |
|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|---------------|------------|-------------|---------------|
| Collaborator/Site (Site ID: 262258)<br>WANG, LINFA<br>DUKE-NUS MEDICAL SCHOOL<br>8 College Road<br>Singapore 169857 | Site Flags<br>Animals: N<br>FWA:<br>Humans: N | Budget Period | Budget Amt | Verified By | Verified Date |
|---------------------------------------------------------------------------------------------------------------------|-----------------------------------------------|---------------|------------|-------------|---------------|



**Sent:** Mon 4/20/2020 5:34:31 PM (UTC-05:00)  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**To:** Naomi Schrag <(b) (6)> Kevin Olival <(b) (6)> "(b) (6)" <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
[Screen Shot 2020-04-20 at 4.23.38 PM.png](#)

Thanks Naomi – not the impression an observer would get looking at the website (see screen shot), but we understand about the grant.

If they “are entirely separate entities” then why does Columbia identify EcoHealth Alliance as an “Affiliation/Department” on its website.

Maybe with the label “Affiliation/Department” you would have a clearly visible disclaimer that says, “EcoHealth Alliance is not affiliated with nor a department of Columbia”? – although even that is internally contradictory.

Best, Mike

---

**From:** Naomi Schrag <(b) (6)>  
**Date:** Monday, April 20, 2020 at 5:19 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> Kevin Olival <(b) (6)>  
(b) (6) <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,  
Columbia and EcoHealth Alliance are entirely separate entities. Some individuals affiliated with EcoHealth Alliance do have adjunct appointments in Columbia’s Ecology, Evolution, and Environmental Biology (“E3B”) department, but we are not aware of any Columbia involvement with the referenced grant, and have found no agreement or record in our grants system to the contrary.

We would be happy to answer any additional questions. Thank you.  
Sincerely,  
Naomi Schrag

Naomi J. Schrag  
Vice President for Research Compliance, Training and Policy  
Office of Research Compliance and Training  
475 Riverside Drive, Suite 840  
New York, New York 10115  
(b) (6)  
[www.researchcompliance.columbia.edu](http://www.researchcompliance.columbia.edu)

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Monday, April 20, 2020 4:31 PM  
**To:** Kevin Olival <(b) (6)> (b) (6)  
**Cc:** Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Thank you Kevin

- We need to work with a senior responsible business official – usually PI’s and senior business officials are different people.
- When I looked you up on the web, I see the Columbia logo (see attached screenshot). Specifically, it appears to be Columbia University > Ecology, Evolution, and Environmental Biology > EcoHealth Alliance (labeled as an “Affiliation/Department”). Thus the web profile makes it look to me as if EcoHealth Alliance is linked to Columbia University.

- In any case, I'm looping in Dr. Daszak.
- We need to know all sites in China that have been in any way linked to this award (Type 1 and Type 2). We have data in NIH, but we want to make absolutely sure that we're of the same understanding.

We greatly appreciate your prompt attention to this matter.

Best, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Kevin Olival <(b) (6)>  
**Date:** Monday, April 20, 2020 at 4:14 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** Naomi Schrag <(b) (6)> "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Mike,

I received the attached letter, however please note:

1. I am not the PI on this award. You should contact Dr. Peter Daszak (b) (6) who is the PI and leading this project for EcoHealth Alliance.
2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

Thank you,  
Kevin

**Kevin J. Olival, PhD**  
*Vice President for Research*

EcoHealth Alliance  
460 West 34th Street, Suite 1701  
New York, NY 10001

(b) (6) (direct)  
(b) (6) (mobile)  
1.212.380.4465 (fax)

[www.ecohealthalliance.org](http://www.ecohealthalliance.org)

EcoHealth Alliance develops science-based solutions to prevent pandemics *and* promote conservation

On Apr 20, 2020, at 2:16 PM, Lauer, Michael (NIH/OD) [E] <(b) (6)> wrote:

Many thanks Naomi – it would be helpful for us to know about **all** China-based participants in this work since the Type 1 grant started in 2014 – who they were and how much money they received. The sooner you can get us that information, the better.

Best, Mike

---

**From:** Naomi Schrag <(b) (6)>  
**Date:** Sunday, April 19, 2020 at 11:59 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "(b) (6)" <(b) (6)>  
<(b) (6)> Naomi Schrag <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Dr. Lauer,  
I am acknowledging receipt of this letter and will get back to you as soon as I can.  
Sincerely,  
Naomi Schrag

---

**From:** Lauer, Michael (NIH/OD) [E] <(b) (6)>  
**Sent:** Sunday, April 19, 2020 11:00 AM  
**To:** (b) (6) Naomi Schrag <(b) (6)>  
**Cc:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Subject:** Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>





# FACULTY

## OLIVAL, KEVIN J.

### AFFILIATION/DEPARTMENT

EcoHealth Alliance

### TELEPHONE

(b) (6)

### EMAIL

(b) (6)

### WEBSITE

<https://www.ecohealthalliance.org/personnel/dr-kevin-j-olival>

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PHONE (212) 854-9987

FAX (212) 854-8188

E3B@COLUMBIA.EDU



10TH FLOOR SCHERMERHORN EXT

1200 AMSTERDAM AVENUE

NEW YORK, NY 10027

[SITE MAP](#)

Search...



**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**To:** "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> "Bulls, Michelle G. (NIH/OD) [E]" <(b) (6)>  
"Schwetz, Tara (NIH/OD) [E]" <(b) (6)> Compliance Review <(b) (6)>  
**Subject:** FW: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Sent:** Tue 4/21/2020 6:30:50 PM (UTC-05:00)  
[EcoHealth Alliance re AI grant 4 19 20\[2\].pdf](#)  
[NoA R01AI110964-06.pdf](#)  
[NoA R01AI110964-01.pdf](#)

Hi Jodi – as we discussed and please note, (b) (5); we are waiting for Larry to circle back to us on that as well.

Many thanks, Mike

---

**From:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Date:** Tuesday, April 21, 2020 at 7:28 PM  
**To:** Peter Daszak <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)> "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Many thanks Peter for your response.

We note that:

- No monies have gone to WIV on the Type 2 award and no contract has been signed.
- You agree that you will not provide any funds to WIV until and unless directed otherwise by NIH.
- All foreign sites for the Type 1 and Type 2 awards have been documented in the progress reports submitted to NIH.

We appreciate your working with us.

Best, Mike

Michael S Lauer, MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

---

**From:** Peter Daszak <(b) (6)>  
**Date:** Tuesday, April 21, 2020 at 7:07 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)> Aleksei Chmura <(b) (6)> "Stemmy, Erik (NIH/NIAID) [E]" <(b) (6)> "Erbelding, Emily (NIH/NIAID) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

Dear Michael – Confirming receipt of your email. I'm also cc'ing the following people so they're aware of this request:

1. Our AOR – Dr. Aleksei Chmura, who has access to all our records
2. My Program Officer for this award, Dr. Erik Stemmy & the Division Director (DMID), Dr. Emily Erberding, so they are informed and aware of the request and our response.

That said we need some time to go through the request for information and will provide this as quickly as we can.

However, I can categorically state that no funds from 2R01AI110964-06 have been sent to Wuhan Institute of Virology, nor has any contract been signed. Furthermore, we will comply with NIAID requirements, of course.

Concerning the request for information on all of the sites linked to this award in China, you should be aware that these are documented in our progress reports over the course of the grant. As you can understand we are under enormous pressure to generate data related to the current pandemic, and we do not want to divert staff to this effort. We are hoping the previously filed reports will satisfy this request.

We are well aware of the political concerns over the origins of this outbreak. Our collaboration with Wuhan Institute of Virology has been scientific and we have been consistently impressed with the scientific capabilities of that laboratory and its research staff. Our joint work has led to a series of critical papers published in high impact journals that served to raise awareness of the future threat coronaviruses pose for global health and therefore US national security. Scientific insights with epidemiological significance have been jointly published and our relationship has always been open and transparent and with one concern only, scientific validity. We are concerned that current actions may jeopardize 15 years of fruitful collaboration with colleagues in Wuhan, who are working at the leading edge to design vaccines and drugs that could help us fight this new threat in future years. It is quite remarkable that of the 5 vaccine candidates listed by WHO that are already in human trials, 3 have been developed in China. That said, we of course will do all we can to make sure any further questions from NIH or any Federal agency are addressed to our fullest knowledge.

Yours sincerely,

**Peter Daszak**  
President

EcoHealth Alliance  
460 West 34<sup>th</sup> Street  
New York, NY 10001  
USA

Tel.: (b) (6)  
Website: [www.ecohealthalliance.org](http://www.ecohealthalliance.org)  
Twitter: [@PeterDaszak](https://twitter.com/PeterDaszak)

*EcoHealth Alliance develops science-based solutions to prevent pandemics and promote conservation*

---

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**Sent:** Monday, April 20, 2020 4:31 PM  
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**Cc:** Naomi Schrag <(b) (6)> Black, Jodi (NIH/OD) [E] <(b) (6)> Lauer, Michael (NIH/OD) [E]  
<(b) (6)>  
**Subject:** Re: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

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2. Columbia University is not involved in this NIH project, and it is not clear to me why Naomi and Columbia University were included.

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Kevin

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Best, Mike

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**Date:** Sunday, April 19, 2020 at 11:59 AM  
**To:** "Lauer, Michael (NIH/OD) [E]" <(b) (6)> <(b) (6)>  
<(b) (6)> Naomi Schrag <(b) (6)>  
**Cc:** "Black, Jodi (NIH/OD) [E]" <(b) (6)>  
**Subject:** RE: Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06

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Naomi Schrag

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**Sent:** Sunday, April 19, 2020 11:00 AM  
**To:** (b) (6) Naomi Schrag <(b) (6)>  
**Cc:** Black, Jodi (NIH/OD) [E] <(b) (6)>  
**Subject:** Please read and acknowledge receipt -- Actions needed regarding 2R01AI110964-06  
**Importance:** High

Dear Dr. Olival and Ms. Schrag

Please see attached.

Many thanks, Mike

Michael S Lauer MD  
NIH Deputy Director for Extramural Research  
1 Center Drive, Building 1, Room 144  
Bethesda, MD 20892  
Phone: (b) (6)  
Email: (b) (6)

<EcoHealth Alliance re AI grant 4 19 20.pdf>

Date: April 19, 2020

From: Michael S Lauer, MD  
NIH Deputy Director for Extramural Research

Lauer, Michael  
(NIH/OD) [E]  
Digitally signed by Lauer,  
Michael (NIH/OD) [E]  
Date: 2020.04.19 10:47:40  
-04'00'

To: Kevin Olival, PhD  
Vice-President for Research  
EcoHealth Alliance  
(b) (6)

Naomi Schrag, JD  
Vice-President for Research Compliance, Training, and Policy  
Columbia University  
(b) (6)

Subject: Project Number 2R01AI110964-06

Dear Dr. Olival and Ms. Schrag:

EcoHealth Alliance, Inc. is the recipient, as grantee, of an NIH grant entitled “Understanding the Risk of Bat Coronavirus Emergence.” It is our understanding that one of the sub-recipients of the grant funds is the Wuhan Institute of Virology (“WIV”). It is our understanding that WIV studies the interaction between corona viruses and bats. The scientific community believes that the coronavirus causing COVID-19 jumped from bats to humans likely in Wuhan where the COVID-19 pandemic began. There are now allegations that the current crisis was precipitated by the release from WIV of the coronavirus responsible for COVID-19. Given these concerns, we are pursuing suspension of WIV from participation in Federal programs.

While we review these allegations during the period of suspension, you are instructed to cease providing any funds from the above noted grant to the WIV. This temporary action is authorized by 45 C.F.R. § 75.371(d) (“Initiate suspension or debarment proceedings as authorized under 2 C.F.R. part 180”). The incorporated OMB provision provides that the funding agency may, through suspension, immediately and temporarily exclude from Federal programs persons who are not presently responsible where “immediate action is necessary to protect the public interest.” 2 C.F.R. § 180.700(c). It is in the public interest that NIH ensure that a sub-recipient has taken all appropriate precautions to prevent the release of pathogens that it is studying. This suspension of the sub-recipient does not affect the remainder of your grant assuming that no grant funds are provided to WIV following receipt of this email during the period of suspension.



NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

**Grant Number:** 2R01AI110964-06 REVISED

**FAIN:** R01AI110964

**Principal Investigator(s):**

PETER DASZAK, PHD

**Project Title:** Understanding the Risk of Bat Coronavirus Emergence

Dr. Daszak, Peter  
PD/PI  
460 West 34th Street  
Suite 1701  
New York, NY 100012320

**Award e-mailed to:** (b) (6)

**Period Of Performance:**

**Budget Period:** 07/24/2019 – 06/30/2020

**Project Period:** 06/01/2014 – 06/30/2024

Dear Business Official:

The National Institutes of Health hereby revises this award to reflect a decrease in the amount of \$71,770 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the "Terms and Conditions" is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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 your ,



Tseday G Girma  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

**SECTION I – AWARD DATA – 2R01AI110964-06 REVISED****Award Calculation (U.S. Dollars)**

|                                        |           |
|----------------------------------------|-----------|
| Salaries and Wages                     | \$170,123 |
| Fringe Benefits                        | \$53,590  |
| Personnel Costs (Subtotal)             | \$223,713 |
| Consultant Services                    | \$49,750  |
| Materials & Supplies                   | \$20,850  |
| Travel                                 | \$15,027  |
| Subawards/Consortium/Contractual Costs | \$229,651 |

|                                                         |                  |
|---------------------------------------------------------|------------------|
| Federal Direct Costs                                    | \$538,991        |
| Federal F&A Costs                                       | \$122,989        |
| Approved Budget                                         | \$661,980        |
| Total Amount of Federal Funds Obligated (Federal Share) | \$661,980        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b>                       | <b>\$661,980</b> |

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** (\$-71,770)

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 6                            | \$661,980  | \$661,980         |
| 7                            | \$637,980  | \$637,980         |
| 8                            | \$637,980  | \$637,980         |
| 9                            | \$637,980  | \$637,980         |
| 10                           | \$637,980  | \$637,980         |

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

**Fiscal Information:**

**CFDA Name:** Allergy and Infectious Diseases Research  
**CFDA Number:** 93.855  
**EIN:** 1311726494A1  
**Document Number:** RAI110964B  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2019

| IC | CAN     | 2019      | 2020      | 2021      | 2022      | 2023      |
|----|---------|-----------|-----------|-----------|-----------|-----------|
| AI | 8472364 | \$661,980 | \$637,980 | \$637,980 | \$637,980 | \$637,980 |

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

**NIH Administrative Data:**

**PCC:** M51C B / **OC:** 414B / **Released:** (b) (6) 08/02/2019  
**Award Processed:** 08/05/2019 12:01:51 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 2R01AI110964-06 REVISED**

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

**SECTION III – TERMS AND CONDITIONS – 2R01AI110964-06 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:

- 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.

- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See NIH Home Page at <http://grants.nih.gov/grants/policy/awardconditions.htm> for certain references cited above.)

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

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

This 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) R01AI110964. 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 include 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://publicacces.nih.gov/>

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipient organizations that have currently active Federal grant, cooperative agreement, 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 II to 45 CFR Part 75. This term does not apply to NIH fellowships.

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**SECTION IV – AI Special Terms and Conditions – 2R01AI110964-06 REVISED**

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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 adjust the budget in accordance with the letter from Aleksei Chmura/ECOHealth Alliance.

Supersedes previous Notice of Award dated **07/24/2019**.

\*\*\*\*\*

This Notice of Award (NoA) includes funds for activity with **The University of North Carolina at Chapel Hill** in the amount of **\$77,750 (\$50,000 direct costs + \$27,750 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Wuhan Institute of Virology** in the amount of **\$76,301 (\$70,649 direct costs + \$5,652 F&A costs)**.

This Notice of Award (NoA) includes funds for activity with **Institute of Pathogen Biology** in the amount of **\$75,600 (\$70,000 direct costs + \$5,600 F&A costs)**.

\*\*\*\*\*

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:

Wuhan Institute of Virology, CHINA

Institute of Pathogen Biology, CHINA

East China Normal University, CHINA

Duke-NUS Medical School, SINGAPORE

\*\*\*\*\*

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

\*\*\*\*\*

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.

\*\*\*\*\*

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

\*\*\*\*\*

Dissemination of study data will be in accord with the Recipient's accepted genomic data sharing plan as stated in the page(s) **203** 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.

\*\*\*\*\*

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.

\*\*\*\*\*

Awardees who conduct research involving Select Agents (see 42 CFR 73 for the Select Agent list; and 7 CFR 331 and 9 CFR 121 for the relevant animal and plant pathogens at <http://www.selectagents.gov/Regulations.html>) must complete registration with CDC (or APHIS, depending on the agent) before using NIH funds. No funds can be used for research involving Select Agents if the final registration certificate is denied.

Prior to conducting a restricted experiment with a Select Agent or Toxin, awardees must notify the NIAID and must request and receive approval from CDC or APHIS.

\*\*\*\*\*

#### 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 Report 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 point

Any change in the use of the Agent( ) or Toxin( ) including 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( ) 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.

## 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:** Tseday G Girma

**Email:** (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

**Program Official:** Erik J. Stemmy

**Email:** (b) (6) **Phone:** (b) (6)

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 2R01AI110964-06 REVISED

**INSTITUTION:** ECOHEALTH ALLIANCE, INC.

| Budget                                | Year 6    | Year 7    | Year 8    | Year 9    | Year 10   |
|---------------------------------------|-----------|-----------|-----------|-----------|-----------|
| Salaries and Wages                    | \$170,123 | \$170,123 | \$170,123 | \$170,123 | \$170,123 |
| Fringe Benefits                       | \$53,590  | \$53,590  | \$53,590  | \$53,590  | \$53,590  |
| Personnel Costs (Subtotal)            | \$223,713 | \$223,713 | \$223,713 | \$223,713 | \$223,713 |
| Consultant Services                   | \$49,750  | \$49,750  | \$49,750  | \$49,750  | \$49,750  |
| Materials & Supplies                  | \$20,850  | \$14,850  | \$14,850  | \$14,850  | \$14,850  |
| Travel                                | \$15,027  | \$15,027  | \$15,027  | \$15,027  | \$15,027  |
| Subawards/Consortium/Contractual Co t | \$229,651 | \$229,651 | \$229,651 | \$229,651 | \$229,651 |
| Publication Co t                      |           | \$6,000   | \$6,000   | \$6,000   | \$6,000   |
| TOTAL FEDERAL DC                      | \$538,991 | \$538,991 | \$538,991 | \$538,991 | \$538,991 |
| TOTAL FEDERAL F&A                     | \$122,989 | \$98,989  | \$98,989  | \$98,989  | \$98,989  |
| TOTAL COST                            | \$661,980 | \$637,980 | \$637,980 | \$637,980 | \$637,980 |

| Facilitie and Admini trative Co t | Year 6    | Year 7    | Year 8    | Year 9    | Year 10   |
|-----------------------------------|-----------|-----------|-----------|-----------|-----------|
| F&A Co t Rate 1                   | 32%       | 32%       | 32%       | 32%       | 32%       |
| F&A Co t Ba e 1                   | \$384,340 | \$309,340 | \$309,340 | \$309,340 | \$309,340 |
| F&A Co t 1                        | \$122,989 | \$98,989  | \$98,989  | \$98,989  | \$98,989  |



**Grant Number:** 1R01AI110964-01  
**FAIN:** R01AI110964

**Principal Investigator(s):**  
PETER DASZAK, PHD

**Project Title:** Understanding the Risk of Bat Coronavirus Emergence

Aleksei  
President  
460 West 34th Street  
17th Floor  
New York, NY 100012317

**Award e-mailed to:** (b) (6)

**Budget Period:** 06/01/2014 – 05/31/2015  
**Project Period:** 06/01/2014 – 05/31/2019

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$666,442 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to ECOHEALTH ALLIANCE, INC. in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

Acceptance of this award including the “Terms and Conditions” is acknowledged by the grantee when funds are drawn down or otherwise obtained from the grant payment system.

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Institute Of Allergy And Infectious Diseases of the National Institutes of Health under Award Number R01AI110964. 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,



Laura A. Pone  
Grants Management Officer  
NATIONAL INSTITUTE OF ALLERGY AND INFECTIOUS DISEASES

Additional information follows

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**SECTION I – AWARD DATA – 1R01AI110964-01****Award Calculation (U.S. Dollars)**

|                             |           |
|-----------------------------|-----------|
| Salaries and Wages          | \$167,708 |
| Fringe Benefits             | \$54,168  |
| Supplies                    | \$21,400  |
| Travel Costs                | \$35,918  |
| Other Costs                 | \$10,000  |
| Consortium/Contractual Cost | \$227,663 |

|                                   |                  |
|-----------------------------------|------------------|
| Federal Direct Costs              | \$516,857        |
| Federal F&A Costs                 | \$149,585        |
| Approved Budget                   | \$666,442        |
| Federal Share                     | \$666,442        |
| <b>TOTAL FEDERAL AWARD AMOUNT</b> | <b>\$666,442</b> |

|                                              |                  |
|----------------------------------------------|------------------|
| <b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b> | <b>\$666,442</b> |
|----------------------------------------------|------------------|

| SUMMARY TOTALS FOR ALL YEARS |            |                   |
|------------------------------|------------|-------------------|
| YR                           | THIS AWARD | CUMULATIVE TOTALS |
| 1                            | \$666,442  | \$666,442         |
| 2                            | \$630,445  | \$630,445         |
| 3                            | \$611,090  | \$611,090         |
| 4                            | \$597,112  | \$597,112         |
| 5                            | \$581,646  | \$581,646         |

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

**Fiscal Information:**

|                  |              |
|------------------|--------------|
| CFDA Number:     | 93.855       |
| EIN:             | 1311726494A1 |
| Document Number: | RAI110964A   |

|                   |                |
|-------------------|----------------|
| PMS Account Type: | P (Subaccount) |
| Fiscal Year:      | 2014           |

| IC | CAN     | 2014      | 2015      | 2016      | 2017      | 2018      |
|----|---------|-----------|-----------|-----------|-----------|-----------|
| AI | 8472350 | \$666,442 | \$630,445 | \$611,090 | \$597,112 | \$581,646 |

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

**NIH Administrative Data:**

PCC: M51C / OC: 414A / Released: (b) (6) 05/20/2014

Award Processed: 05/08/2014 01:52:21 PM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01AI110964-01**

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

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**SECTION III – TERMS AND CONDITIONS – 1R01AI110964-01**

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

- a. The grant program legislation and program regulation cited in this Notice of Award.

- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
- d. The NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. 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.)

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 Central Contractor Registration. 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) R01AI110964. 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://publicacces.nih.gov/>

#### **Treatment of Program Income:** Additional Cost

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### **SECTION IV – AI Special Terms and Conditions – 1R01AI110964-01**

THIS AWARD CONTAINS GRANT SPECIFIC RESTRICTIONS. THESE RESTRICTIONS MAY ONLY BE LIFTED BY A REVISED NOTICE OF AWARD.

RESTRICTION: This award is issued with the knowledge that subjects may be involved within the period of support, but definite plans were not set forth in the application as per 45 CFR 46.118. No human subjects may be involved in any project supported by this award until all requirements for Human Subjects research as identified in the PHS398/SF424 Instructions have been provided to and approved by NIH.

RESTRICTION: The present award is being made without a currently valid certification of IRB approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted pending the NIAID's acceptance of the certification of IRB review and approval.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for any research involving human subjects prior to the NIAID's notification to the grantee that the identified issues have been resolved and this restriction removed.

~~~~~  
This award includes funds for subcontract/consortium activity with Wuhan Institute of Virology, CHINA and is budgeted as follows:

	-Yr 1	-Yr 2	-Yr 3	-Yr 4	-Yr 5
Total Direct Costs	\$123,699	\$128,718	\$147,335	\$147,335	\$147,335
F&A Costs @ 8%(MTDC)	\$9,896	\$10,297	\$11,787	\$11,787	\$11,787
TOTAL COSTS	\$133,595	\$139,015	\$159,122	\$159,122	\$159,122

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

~~~~~  
This award includes funds for subcontract/consortium activity with East China Normal University, CHINA and is budgeted as follows:

|                      | -Yr 1    | -Yr 2    | -Yr 3    | -Yr 4    | -Yr 5    |
|----------------------|----------|----------|----------|----------|----------|
| Total Direct Costs   | \$87,100 | \$67,300 | \$50,108 | \$39,167 | \$14,850 |
| F&A Costs @ 8%(MTDC) | \$6,968  | \$5,384  | \$4,009  | \$3,133  | \$2,404  |
| TOTAL COSTS          | \$94,068 | \$72,684 | \$54,117 | \$42,300 | \$32,454 |

Consortiums are to be established and administered as described in the NIH Grants Policy Statement. This written agreement with the consortium must address the negotiated arrangements for meeting the scientific, administrative, financial, and reporting requirements for this grant.

#### ~~~~~ 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 a change in ongoing experiment that would require change in the bio safety plan and/or biosafety containment level. An approval to conduct a restricted experiment granted to an individual cannot be assumed an approval to other individual who conduct the same restricted experiment as defined in the Select Agents Regulation 42 CFR Part 73, Section 13.b (<http://www.electagent.gov/Regulation.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/oh/biofty/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 Bio safety 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 Agent and/or Highly Pathogenic Agent, 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.

## 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:** Laura A. Pone

**Email:** (b) (6) **Phone:** (b) (6) **Fax:** 301-493-0597

**Program Official:** Erik J. Stemmy

**Email:** (b) (6) **Phone:** (b) (6)

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 1R01AI110964-01

**INSTITUTION:** ECOHEALTH ALLIANCE, INC.

| Budget                      | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|-----------------------------|-----------|-----------|-----------|-----------|-----------|
| Salaries and Wages          | \$167,708 | \$167,708 | \$167,708 | \$167,708 | \$167,708 |
| Fringe Benefit              | \$54,168  | \$54,168  | \$54,168  | \$54,168  | \$54,168  |
| Supplies                    | \$21,400  | \$19,250  | \$7,250   | \$7,000   | \$3,500   |
| Travel Cost                 | \$35,918  | \$35,918  | \$35,918  | \$35,918  | \$35,918  |
| Other Cost                  | \$10,000  | \$13,550  | \$11,050  | \$9,800   | \$9,400   |
| Contingent/Contractual Cost | \$227,663 | \$211,699 | \$213,239 | \$201,422 | \$191,576 |
| TOTAL FEDERAL DC            | \$516,857 | \$502,293 | \$489,333 | \$476,016 | \$462,270 |
| TOTAL FEDERAL F&A           | \$149,585 | \$128,152 | \$121,757 | \$121,096 | \$119,376 |
| TOTAL COST                  | \$666,442 | \$630,445 | \$611,090 | \$597,112 | \$581,646 |

| Facilities and Administrative Cost | Year 1    | Year 2    | Year 3    | Year 4    | Year 5    |
|------------------------------------|-----------|-----------|-----------|-----------|-----------|
| F&A Cost Rate 1                    | 44.1%     | 44.1%     | 44.1%     | 44.1%     | 44.1%     |
| F&A Cost Base 1                    | \$339,194 | \$290,594 | \$276,094 | \$274,594 | \$270,694 |
| F&A Cost 1                         | \$149,585 | \$128,152 | \$121,757 | \$121,096 | \$119,376 |

**To:** Garcia-Malene, Gorka (NIH/OD) [E] (b) (6)  
**Cc:** Bordine, Roger (NIH/OD) [E] (b) (6); Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Lauer, Michael (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=90FE9CAE30C64CFBB67ABD568E882796-LAUERM]  
**Sent:** Thur 9/3/2020 10:08:42 PM (UTC-05:00)  
**Subject:** Re: ACTION REQUIRED: FOI Case No. 55058 (Lerner)  
[Daszak grant propos-1-1-1\[1\].pdf](#)

Hi Gorka – yes, that sounds fine.

Many thanks, Mike

---

**From:** "Garcia-Malene, Gorka (NIH/OD) [E]" (b) (6)  
**Date:** Thursday, September 3, 2020 at 10:39 PM  
**To:** "Lauer, Michael (NIH/OD) [E]" (b) (6)  
**Cc:** "Bordine, Roger (NIH/OD) [E]" (b) (6)  
**Subject:** FW: ACTION REQUIRED: FOI Case No. 55058 (Lerner)

Good evening, Mike –

I hope this email doesn't wake you. It looks like you're online too.

We received a request for copies of (many) grants awarded to EcoHealth. I take it these can be processed and released with appropriate redactions. Please let me know if you disagree. The request is attached.

Let me know if there are any questions.

Gorka

---

**From:** Moore, Marg (NIH/NIAID) [E] (b) (6)  
**Sent:** Thursday, September 3, 2020 11:37 AM  
**To:** Garcia-Malene, Gorka (NIH/OD) [E] (b) (6); Bordine, Roger (NIH/OD) [E] (b) (6)  
**Cc:** NHLBI FOIA REQUEST (NIH/NHLBI) (b) (6); NIAID FOIA Office (b) (6)  
**Subject:** ACTION REQUIRED: FOI Case No. 55058 (Lerner)

Gorka/Roger: Please see the attached request from Sharon Lerner (the Intercept) logged into FX as Case No. 55058. Ms. Lerner is asking for multiple grants awarded to Peter Daszak/EcoHealth Alliance. Please let us know which grants, if any, you will be denying and what you would like us to process. Additionally, she has requested expedited processing.

I have copied the Service Center on this email as some of the grants belong to Fogarty.

Thank you.

Marg

**From:** Sharon Lerner via iFOIA.org <[Intercept.139106@mail.ifoia.org](mailto:Intercept.139106@mail.ifoia.org)>  
**Sent:** Thursday, September 3, 2020 10:55 AM  
**To:** FOIA-7 <[FOIA71@mail.nih.gov](mailto:FOIA71@mail.nih.gov)>  
**Subject:** Public Records Request

Reply ABOVE THIS LINE

---

Dear Robin Schofield:

Attached is a formal request for public records. Please feel free to contact me at [sharon.lerner@theintercept.com](mailto:sharon.lerner@theintercept.com) or at 718-877-5236 with any questions.

Thank you for your assistance.

Sincerely,

Sharon Lerner

Investigative Reporter

The Intercept

[sharon.lerner@theintercept.com](mailto:sharon.lerner@theintercept.com)

This message was sent via iFOIA.org. If you have questions about iFOIA, please refer to the [About page](#) or email [ifoia-help@rcfp.org](mailto:ifoia-help@rcfp.org).

---

*This message was sent via [iFOIA.org](#).*

---



September 3, 2020

Sharon Lerner  
The Intercept  
114 5th Ave  
NY NY 10011

Robin Schofield  
FOIA Officer  
Department of Health and Human Services  
National Institute of Health  
5601 Fishers Lane  
Room 6G51  
Rockville, MD 20892  
301-451-5109  
foia@niaid.nih.gov

September 03, 2020

**FOIA REQUEST**

**Fee waiver requested**

Dear FOIA Officer:

Pursuant to the federal Freedom of Information Act, 5 U.S.C. § 552, I request access to and copies of proposals for and all written communications relating to the following grants:

NIH 2020 Understanding Risk of Zoonotic Virus Emergence in EID Hotspots of Southeast Asia Daszak, Peter / Ecohealth Alliance, Inc.

NIH 2019 Understanding the Risk of Bat Coronavirus Emergence Daszak, Peter / Ecohealth Alliance, Inc.

NIH 2018 Understanding the Risk of Bat Coronavirus Emergence Daszak, Peter / Ecohealth Alliance, Inc.

NIH 2017 Understanding the Risk of Bat Coronavirus Emergence Daszak, Peter / Ecohealth Alliance, Inc.  
\$597,112

NIH 2016 Understanding the Risk of Bat Coronavirus Emergence Daszak, Peter / Ecohealth Alliance, Inc.

NIH 2015 Understanding the Risk of Bat Coronavirus Emergence Daszak, Peter / Ecohealth Alliance, Inc.  
\$630,445

NIH 2014 Understanding the Risk of Bat Coronavirus Emergence Daszak, Peter / Ecohealth Alliance, Inc.  
\$666,442

NIH 2012 Risk of Viral Emergence from Bats Daszak, Peter / Ecohealth Alliance, Inc. \$518,980

NIH 2012 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc.

NIH 2012 Comparative Spillover Dynamics of Avian Influenza in Endemic Countries Daszak, Peter / Ecohealth Alliance, Inc. \$300,000

NIH 2010 Risk of Viral Emergence from Bats Daszak, Peter / Ecohealth Alliance, Inc. \$480,423 October, 2012 Daszak, Peter / Ecohealth Alliance inc. \$22,890

NIH 2012 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$6,982

NIH 2011 Risk of Viral Emergence from Bats Daszak, Peter / Ecohealth Alliance, Inc. \$510,005

NIH 2011 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$494,455

NIH 2011 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$266,919

NIH 2010 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$499,998

NIH 2010 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$199,992

NIH 2010 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc.

NIH 2009 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$499,975

NIH 2009 Risk of Viral Emergence from Bats Daszak, Peter / Ecohealth Alliance, Inc. \$535,156

NIH 2003 Anthropogenic change & emerging zoonotic paramyxoviruses Daszak, Peter / Wildlife Trust \$358,606

NIH 2002 Anthropogenic change & emerging zoonotic paramyxoviruses Daszak, Peter / Wildlife Trust \$358,102

NIH 2009 R01 TW The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$204,688

NIH 2009 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$199,698

NIH 2009 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$51,225

NIH 2009 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$46,399

NIH 2008 Risk of Viral Emergence from Bats Daszak, Peter / Ecohealth Alliance, Inc.

NIH 2008 The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$502,356

NIH 2008 R01 TW The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$150,000

NIH 2008 R01 TW The Ecology, Emergence and Pandemic Potential of Nipah virus in Bangladesh Daszak, Peter / Ecohealth Alliance, Inc. \$45,000

NIH 2005 Anthropogenic change & emerging zoonotic paramyxoviruses Daszak, Peter / Ecohealth Alliance, Inc. \$662,576 NIH 2004 Anthropogenic change & emerging zoonotic paramyxoviruses Daszak, Peter / Wildlife Trust \$359,654.

I would like to receive the information in electronic form, preferably emailed to me.

I agree to pay reasonable fees for the processing of this request up to \$. Please notify me before incurring any expenses in excess of that amount.

#### Fee Categorization

For fee categorization purposes, I am a representative of the news media. Through this request, I am gathering information for my journalistic work with The Intercept. The Intercept is an award-winning news organization dedicated to holding the powerful accountable through fearless, adversarial journalism. Its in-depth investigations and unflinching analysis focus on politics, war, surveillance, corruption, the environment, technology, criminal justice, the media, and more. Accordingly, I am only required to pay for the direct cost of duplication after the first 100 pages. 5 U.S.C. § 552(a)(4)(A)(ii)(II); id. § 552(a)(4)(A)(iv)(II).

#### Request for Fee Waiver

Please waive any applicable fees. Release of the information is not primarily in my commercial interest and will contribute significantly to public understanding of government operations and activities. 5 U.S.C. § 552(a)(4)(A)(iii). All the information I seek is for reporting that will enhance the public understanding of funding for emerging viral diseases.

#### Request for Expedited Processing

Please provide expedited processing of this request which concerns a matter of urgency. As an Investigative Reporter, I am primarily engaged in disseminating information. The public has an urgent need for information about the historic funding of research on emerging infectious diseases and coronaviruses because it is a critical piece of understanding the scientific work around the emergence of coronaviruses such as the Sar-CoV2. I certify that my statements concerning the need for expedited processing are true and correct to the best of my knowledge and belief.

#### Conclusion

If my request is denied in whole or part, please justify all withholdings by reference to specific exemptions and statutes, as applicable. For each withholding please also explain why your agency “reasonably foresees that disclosure would harm an interest protected by an exemption” or why “disclosure is prohibited by law[.]” 5 U.S.C. § 552(a)(8)(A)(i).

I would appreciate your communicating with me by email or telephone, rather than by mail.

I look forward to your determination regarding my request for expedited processing within 10 calendar days, as the statute requires.

Thank you in advance for your assistance.

Sincerely,

Sharon Lerner

Investigative Reporter, The Intercept

718-877-5236, sharon.lerner@theintercept.com

**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**Cc:** Bulls, Michelle G. (NIH/OD) [E] (b) (6); Black, Jodi (NIH/OD) [E] (b) (6)  
**From:** Bulls, Michelle G. (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=B366F1A4382D44C1BDE626E7730C3DD4-BULLSMG]  
**Sent:** Thur 9/10/2020 11:43:04 AM (UTC-05:00)  
**Subject:** FW: Grant Questions - FBI Inquiry - 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



Bulls, Michelle G. (NIH/OD) [E] (b) (6) has sent you an encrypted email. Please verify your identity at the link below to access the encrypted email.

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**To:** Bulls, Michelle G. (NIH/OD) [E] (b) (6)  
**Cc:** Black, Jodi (NIH/OD) [E] (b) (6) Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Lauer, Michael (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=90FE9CAE30C64CFBB67ABD568E882796-LAUERM]  
**Sent:** Fri 9/11/2020 3:36:36 AM (UTC-05:00)  
**Subject:** Re: Grant Questions - FBI Inquiry - 1-R01AI110964-01 - 2-R01AI110964-06  
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**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**Cc:** Black, Jodi (NIH/OD) [E] (b) (6) Bulls, Michelle G. (NIH/OD) [E] (b) (6)  
**From:** Bulls, Michelle G. (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=B366F1A4382D44C1BDE626E7730C3DD4-BULLSMG]  
**Sent:** Fri 9/11/2020 8:23:41 AM (UTC-05:00)  
**Subject:** RE: Grant Questions - FBI Inquiry - 1-R01AI110964-01 - 2-R01AI110964-06  
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**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**Cc:** Shannon, Mike (NIH/OD) [E] (b) (6) Kearsse, Deborah (NIH/OD) [E] (b) (6)  
**From:** Sanders, Ashley (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=5C048AB16D0C4A6FAF54003725E5868B-SANDERSAM]  
**Sent:** Fri 9/11/2020 3:00:03 PM (UTC-05:00)  
**Subject:** OIG/FBI Inquiry - NIAID 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



Sanders, Ashley (NIH/OD) [E] (b) (6) has sent you an encrypted email. Please verify your identity at the link below to access the encrypted email.

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**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Garcia-Malene, Gorka (NIH/OD) [E]/[O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=4C4DA0F5E0A0480AAD2A86924CABA7B7-GARCIAMALEN]  
**Sent:** Tue 9/1/2020 5:56:24 PM (UTC-05:00)  
**Subject:** FOIA request 54654  
[HHS-NIH-20-1665.pdf](#)

Good afternoon, Mike –

American Oversight filed the attached request, No. 54654, seeking:

All electronic communications (including email messages, complete email chains, calendar invitations, Jabber instant messages, text messages and similar electronic messaging applications (such as Signal, WhatsApp, Twitter DMs), etc., and any attachments thereto) of the following officials *regarding* the Wuhan Institute of Virology and/or the EcoHealth Alliance project *Understanding the Risk of Bat Coronavirus Emergence*, funded under grant R01 AI110964.

- a. Director Francis Collins
- b. Principal Deputy Director Lawrence A. Tabak
- c. Deputy Director for Extramural Research Michael S. Lauer

We issued a denial citing an ongoing investigation, pursuant to FOIA Exemption (b)(7)(A). American Oversight responded as follows:

Is the agency able to confirm whether or not the investigation referenced in the final response letter is the publicly reported intelligence investigation into the origins of the coronavirus, and, specifically, whether it originated at the Wuhan lab? See, e.g., <https://www.wsj.com/articles/u-s-intelligence-sifts-evidence-for-origins-of-coronavirus-11587077170?mod=searchresults&page=1&pos=1&mod=article> inline. If so, we may consider appealing the use of 7(a) in this intelligence (rather than law enforcement) context. But, I'd prefer not to waste your time or ours appealing on this ground if this is not the investigation at issue.

Any advice on how we might respond?

I hope you were truly able to take some time off from work over the weekend.

Gorka

(b) (6)

**To:** Sanders, Ashley (NIH/OD) [E] (b) (6)  
**Cc:** Shannon, Mike (NIH/OD) [E] (b) (6) Kearsse, Deborah (NIH/OD) [E] (b) (6) Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Lauer, Michael (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=90FE9CAE30C64CFBB67ABD568E882796-LAUERM]  
**Sent:** Fri 9/11/2020 3:21:38 PM (UTC-05:00)  
**Subject:** Re: OIG/FBI Inquiry - NIAID 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



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**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**Cc:** Shannon, Mike (NIH/OD) [E] (b) (6) Kearsse, Deborah (NIH/OD) [E] (b) (6)  
**From:** Sanders, Ashley (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=5C048AB16D0C4A6FAF54003725E5868B-SANDERSAM]  
**Sent:** Fri 9/11/2020 4:33:09 PM (UTC-05:00)  
**Subject:** RE: OIG/FBI Inquiry - NIAID 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



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Microsoft Corporation, One Microsoft Way, Redmond, WA 98052

**To:** Sanders, Ashley (NIH/OD) [E] (b) (6)  
**Cc:** Shannon, Mike (NIH/OD) [E] (b) (6) Kearsse, Deborah (NIH/OD) [E] (b) (6) Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Lauer, Michael (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=90FE9CAE30C64CFBB67ABD568E882796-LAUERM]  
**Sent:** Fri 9/11/2020 5:01:54 PM (UTC-05:00)  
**Subject:** Re: OIG/FBI Inquiry - NIAID 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



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**To:** Bulls, Michelle G. (NIH/OD) [E] (b) (6)  
**Cc:** Black, Jodi (NIH/OD) [E] (b) (6); Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Lauer, Michael (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=90FE9CAE30C64CFBB67ABD568E882796-LAUERM]  
**Sent:** Sun 9/13/2020 12:23:53 PM (UTC-05:00)  
**Subject:** Re: Grant Questions - FBI Inquiry - 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



Lauer, Michael (NIH/OD) [E] (b) (6) has sent you an encrypted email. Please verify your identity at the link below to access the encrypted email.

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**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Sanders, Ashley (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=5C048AB16D0C4A6FAF54003725E5868B-SANDERSAM]  
**Sent:** Sun 9/13/2020 8:43:10 PM (UTC-05:00)  
**Subject:** RE: OIG/FBI Inquiry - NIAID 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



Sanders, Ashley (NIH/OD) [E] (b) (6) has sent you an encrypted email. Please verify your identity at the link below to access the encrypted email.

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**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**Cc:** Black, Jodi (NIH/OD) [E] (b) (6)  
**From:** Bulls, Michelle G. (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=B366F1A4382D44C1BDE626E7730C3DD4-BULLSMG]  
**Sent:** Mon 9/14/2020 3:42:00 PM (UTC-05:00)  
**Subject:** RE: Grant Questions - FBI Inquiry - 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



Bulls, Michelle G. (NIH/OD) [E] (b) (6) has sent you an encrypted email. Please verify your identity at the link below to access the encrypted email.

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**To:** Lauer, Michael (NIH/OD) [E] (b) (6)  
**From:** Sanders, Ashley (NIH/OD) [E] [/O=EXCHANGELABS/OU=EXCHANGE ADMINISTRATIVE GROUP (FYDIBOHF23SPDLT)/CN=RECIPIENTS/CN=5C048AB16D0C4A6FAF54003725E5868B-SANDERSAM]  
**Sent:** Mon 9/14/2020 4:00:54 PM (UTC-05:00)  
**Subject:** RE: OIG/FBI Inquiry - NIAID 1-R01AI110964-01 - 2-R01AI110964-06  
[message v2.rpmsg](#)



Sanders, Ashley (NIH/OD) [E] (b) (6) has sent you an encrypted email. Please verify your identity at the link below to access the encrypted email.

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