



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

Freedom of Information Office  
5601 Fishers Lane, Suite 6G50  
Bethesda, Maryland 20892  
Tel (301) 451-5109  
Fax (301) 480-0904/ Email foia@niaid.nih.gov

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

November 4, 2014

Edward Hammond  
Prickly Research  
3103 Powell Cir  
Austin, TX 78704

Re: FOI Case No. 43064

Dear Mr. Hammond:

This is a final response to your October 28, 2014 Freedom of Information Act (FOIA) request emailed to the National Institute of Allergy and Infectious Diseases (NIAID) FOIA Office. You requested the following records:

1. The letters sent to NIH grantees concerning stopping work on federally funded gain-of-function studies.

We searched the files of the Division of Microbiology and Infectious Diseases and the Division of Extramural Activities, NIAID for records responsive to your request. That search produced 20 pages responsive to your request. Enclosed electronically are 10 2-page letters. No information was removed from the enclosed pages.

In certain circumstances provisions of the FOIA and Department of Health and Human Services FOIA Regulations allow us to recover part of the cost of responding to your request. Because the cost is below the \$25 minimum, there is no charge for the enclosed materials.

Sincerely,

A handwritten signature in black ink, appearing to read "Margaret Moore".

Margaret Moore  
Freedom of Information Office  
National Institute of Allergy and Infectious Diseases

Enclosures: 20 electronic pages



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Teri Medley  
Washington University  
660 South Euclid Avenue  
Campus Box 8018  
St. Louis, MO 63110

RE: 5 R01 AI080672-04

Dear Ms. Medley:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aim appears to involve research covered under the pause:

Aim 2. Determine whether conjugation of ISG15 to target proteins is required for resistance to influenza virus infection

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on Washington University's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause**, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause**, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the

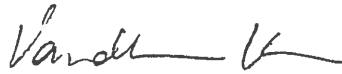
new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.**
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period, please provide a detailed description of the GoF research to be conducted.**

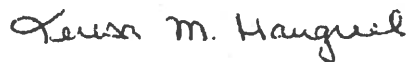
These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Dhana Khurana  
Grants Management Specialist  
NIAID/NIH/DHHS



Teresa M. Hauguel, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Deborah Lenschow  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Connie Barton  
University of Texas Medical Branch  
301 University Boulevard  
Galveston, TX 77551-0156

RE: 1 R21AI113206-01

Dear Ms. Barton:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aims appear to involve research covered under the pause:

Section 4 of the application (Potential Problems and Alternative Strategies) includes the alternative approach of mouse-adapting MERS-CoV to increase disease in the mouse model.

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on University of Texas Medical Branch's plans for the research outlined above within 90 days of the date of this letter.

- If you determine that the above research does **NOT** include GoF work subject to the funding pause, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.
- If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the

new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause**, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period**, please provide a detailed description of the GoF research to be conducted.

These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Mike Fato  
Grants Management Specialist  
NIAID/NIH/DHHS



Erik J. Stemmy, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Chien-Te Tseng  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Monika Hailey Lagaard  
University of Chicago  
6030 South Ellis Avenue  
Chicago, IL 60637

RE: 5 R00 AI095320-03

Dear Ms. Lagaard:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aim appears to involve research covered under the pause:

Aim 2. To investigate how the NS1 protein antagonizes innate immune responses *in vivo*

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on University of Chicago's plans for the research outlined above within 90 days of the date of this letter.

- If you determine that the above research does **NOT** include GoF work subject to the funding pause, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.
- If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.**
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period, please provide a detailed description of the GoF research to be conducted.**

These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Greg Smith  
Grants Management Specialist  
NIAID/NIH/DHHS



Teresa M. Hauguel, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Balaji Manicassamy  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Jennifer Lassner  
Asst. Vice President for Research  
Division of Sponsored Programs  
University of Iowa  
2 Gilmore Hall  
Iowa City, IA 52242-1320

RE: 5 P01 AI060699-09

Dear Ms. Lassner:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aims appear to involve research covered under the pause:

Projects 1 and 3 of the award include the potential of mouse-adapting MERS-CoV to increase disease in mouse models of MERS-CoV infection.

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on University of Iowa's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.**
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause, please provide the**



transition plan. It should identify the research to be transitioned, a detailed description of the new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.**
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period, please provide a detailed description of the GoF research to be conducted.**

These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Julie Bergerud  
Grants Management Specialist  
NIAID/NIH/DHHS



Erik J. Stemmy, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Stanley Perlman  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Joy Floyd  
Office of Sponsored Programs  
Emory University  
1599 Clifton Road NE, 4<sup>th</sup> Floor  
Atlanta, GA 30322

RE: 5 R01 AI099000-03

Dear Ms. Floyd:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aim appears to involve research covered under the pause:

Aim 2. Identify factors that affect reassortment frequency in a co-infected host

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on Emory University's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause**, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause**, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- If the grantee plans to voluntarily halt the research subject to the funding pause, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.
- If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period, please provide a detailed description of the GoF research to be conducted.

These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Laura Pone

Grants Management Specialist

NIAID/NIH/DHHS



Teresa M. Hauguel, Ph.D.

Program Officer

Division of Microbiology and Infectious Diseases

NIAID/NIH/DHHS

CC: Dr. Anice Lowen  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Sherrie Settle  
Director, Proposal Management  
University of North Carolina at Chapel Hill  
Office of Sponsored Research  
Administrative Office Bldg, Suite 2200  
104 Airport Drive #1350  
Chapel Hill, NC 27599-1350

RE: SU19 AI107810-02

Dear Ms. Settle:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aims appear to involve research covered under the pause:

Project 1: Role of Uncharacterized Genes in High Pathogenic Human Coronavirus Infection - Ralph S. Baric, PhD- Project Leader

- Specific Aim 2. Novel functions in virus replication in vitro.
- Specific Aim 3. Novel functions in virus pathogenesis in vivo.

Project 2: Determining the functions of novel genes for influenza A and Ebola viruses (EBOV) - Yoshihiro Kawaoka, PhD- Project Leader

- Specific Aim 2. To determine the significance of uncharacterized IAV and EBOV genes in viral replication.
- Specific Aim 3. To determine the significance of uncharacterized IAV and EBOV genes in virus pathogenicity.

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on University of North Carolina at Chapel Hill's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause**, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause**, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.
- **If the grantee plans to voluntarily halt the research subject to the funding pause**, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period**, please provide a detailed description of the GoF research to be conducted.

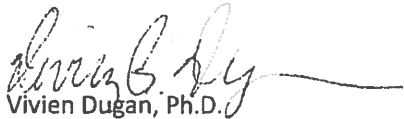
These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Chernay Mason  
Grants Management Specialist  
NIAID/NIH/DHHS



Vivien Dugan, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Ralph Baric  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Venzula Harris  
University of Maryland School of Medicine  
660 West Redwood Street  
Room 021  
Baltimore, MD 21201

RE: 5 R01 AI095569-04

Dear Ms. Harris:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aims appear to involve research covered under the pause:

An administrative supplement made to the award in FY2014 included the potential of mouse-adapting MERS-CoV to increase disease in mouse models of MERS-CoV infection.

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on University of Maryland School of Medicine's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause**, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause**, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the

new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause**, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period**, please provide a detailed description of the GoF research to be conducted.

These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Sam Tempchin  
Grants Management Specialist  
NIAID/NIH/DHHS



Erik J. Stemmy, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Matthew Frieman  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Lisa Au  
Vanderbilt University  
Office of Sponsored Programs  
1400 18<sup>th</sup> Avenue South  
Nashville, TN 37212-2809

RE: 5 R01 AI108197-02

Dear Ms. Au:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aims appear to involve research covered under the pause:

**Aim 3:** To determine the effect of altered fidelity on *in vivo* replication and pathogenesis.

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on Vanderbilt University's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause**, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause**, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the



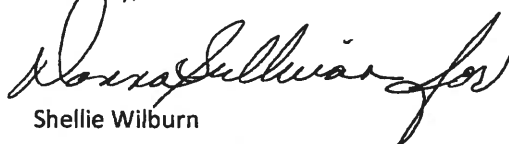
new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause**, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period**, please provide a detailed description of the GoF research to be conducted.

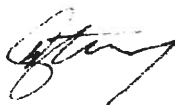
These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Shellie Wilburn  
Grants Management Specialist  
NIAID/NIH/DHHS



Erik J. Stemmy, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Mark Dennison  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Jenny M. Dahlberg  
University of Wisconsin-Madison  
2015 Linden Drive  
Madison, WI 53706

RE: 5 R01 AI080598-05

Dear Ms. Dahlberg:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aims appear to involve research covered under the pause:

- Aim 1. To assess the risk of emergence of 1918 virus-like pandemic influenza viruses
- Aim 2. To assess the molecular features of HA that support the high virulence of the 1918 virus
- Aim 3. To assess the role of the 1918 virus replication complex in severe viral infection

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on University of Wisconsin-Madison's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.**
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the**

new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.**
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period, please provide a detailed description of the GoF research to be conducted.**

These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Tina Carlisle  
Grants Management Specialist  
NIAID/NIH/DHHS



Teresa M. Hauguel, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Yoshi Kawaoka  
Ms. Mary Kirker  
Dr. Irene Glowinski



DEPARTMENT OF HEALTH & HUMAN SERVICES

Public Health Service

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

October 21, 2014

Ms. Jenny M. Dahlberg  
University of Wisconsin-Madison  
2015 Linden Drive  
Madison, WI 53706

RE: 5 R01 AI069274-07

Dear Ms. Dahlberg:

NIAID has determined that the above referenced grant may include Gain of Function (GoF) research that is subject to the recently-announced U.S. Government funding pause (<http://www.phe.gov/s3/dualuse/Documents/gain-of-function.pdf>), issued on October 17, 2014. The following specific aims appear to involve research covered under the pause:

- Aim 1. To identify the mechanisms that control H5N1 virus transmissibility in mammals
- Aim 2. To characterize the contribution of viral genes other than HA to H5N1 virus transmissibility

As your grant is currently funded, this pause is voluntary. Organizations conducting GoF research supported by the NIH have an opportunity to transition the applicable research to research that is not covered by the funding pause; halt the applicable GoF research until the outcome of the deliberative process is known; or continue to conduct the applicable GoF research until the end of the currently active budget period.

NIAID requests information on University of Wisconsin-Madison's plans for the research outlined above within 90 days of the date of this letter.

- **If you determine that the above research does NOT include GoF work subject to the funding pause, please provide a detailed explanation of the research being conducted and why it is not covered by the pause. NIAID will review this information and make the final determination.**
- **If the ongoing research includes GoF work subject to the funding pause and the grantee proposes to transition it to areas of research not covered by the pause, please provide the transition plan. It should identify the research to be transitioned, a detailed description of the**

new planned specific aims (in most cases this will require NIAID pre-approval), and a timeline for the proposed transition.

- **If the grantee plans to voluntarily halt the research subject to the funding pause, please identify the research that will be halted and the proposed date by which the applicable research will be stopped. Please provide a confirmation that the research has been halted.**
- **If the ongoing research includes GoF work and the grantee plans on continuing the research until the end of the currently active budget period, please provide a detailed description of the GoF research to be conducted.**

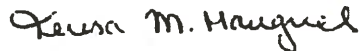
These plans are for the currently active budget period. Please be advised that while the funding pause is in effect, NIAID will not support GoF research identified in the pause after the end of the current grant budget period. Neither competing nor non-competing renewal applications will be funded to support applicable GoF research.

If you have any questions about this matter please do not hesitate to contact the NIAID program and/or grants management contact listed below.

Sincerely,



Tina Carlisle  
Grants Management Specialist  
NIAID/NIH/DHHS



Teresa M. Hauguel, Ph.D.  
Program Officer  
Division of Microbiology and Infectious Diseases  
NIAID/NIH/DHHS

CC: Dr. Yoshi Kawaoka  
Ms. Mary Kirker  
Dr. Irene Glowinski