

Universidad Peruana Cayetano Heredia

Consolidated Expenses Statement from Research Projects financed by Federal Funds from the United States of America, through contracts and subcontracts signed between Universidad Peruana Cayetano Heredia and National Institute of Health (NIH) and universities of the United States of America, respectively, for the period from January 1, 2016 to 31 December of 2016

Universidad Peruana Cayetano Heredia

Consolidated Expenses Statement from Research Projects financed by Federal Funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America

For the period from January 1 to December 31, 2016

Content

Executive summary

Background of the Entity and the Project

Objectives of the audit

Scope of the audit

Results of the audit

Agreed upon procedures

Comments by the entity

Review of the Consolidated Expenses Statement of the Research Projects

Independent auditor report

Consolidated Expenses Statement

Note to the Consolidated Expenses Statement

Report on the evaluation of internal control

Independent auditor report

Recommendations on issues of internal accounting control and others

Report on the compliance of the cooperation agreement terms

Independent auditors report

Status of compliance of the cooperation agreement terms

Universidad Peruana Cayetano Heredia

Audit Report of the Consolidated Expenses Statement from Research Projects financed by Federal Funds from The United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America

For the period from January 1, 2016 to December 31, 2016

1. Background of the Entity and Research Projects

The Entity

Universidad Peruana Cayetano Heredia (hereinafter the University) was incorporated in the city of Lima, Peru, as a legal nonprofit entity, of private law, with autonomy of academic, administrative, economic and policy Government, created under the auspices of the Supreme Decree No. 018 from December 22, 1961. The University is governed by the law N ° 30220 "University Law", as well as by its own statute, the records of meetings of the University Assembly, the minutes of the University Council and by its internal policies.

As of December 31, 2016, the University maintains the subsidiaries, Clinica Medica Cayetano Heredia S.A., Bioincuba S.A.C., and Agency Operator Cayetano Heredia S.A., domiciled in Peru, in which keeps the following participation 63.93%, 99.99% and 99.99%, respectively.

Research Projects:

Research Projects, hereinafter 'The Projects' maintained for Universidad Peruana Cayetano Heredia for the period from January 1, 2016 until 31 December 2016 are the following:

- Project 1: Peru infectious diseases epidemiology research training consortium.
- Project 2: Kuskaya: an interdisciplinary training program for innovation in global health.
- Project 3: Optimizing ring screening strategy for control of Taenia Solium infection.
- Project 4: Launching a salt substitute to reduce blood pressure at the population level-Peru.
- Project 5: 1/2 regional geohealth centered in Peru -Peru.
- Project 6: Paracas: Program for advanced research capacities for aids in Peru.
- Project 7: Tuberculosis trials consortium.
- Project 8: Colonization of the placenta by Treponema Pallidum, congenital syphilis, and a new vaccine.
- Project 9: Syphilis: translating technology to understand a neglected epidemic.
- Project 10: Disrupting vector-borne disease transmission in complex urban environments.
- Project 11: Combined Albendazole and Praziquantel in subarachnoid NCC, CCC, lead application.
- Project 12: Improving participation in vector control campaigns through behavioral economics.
- Project 13: Training in parasitic diseases and central nervous system infections in Peru.

Audit Report of the Consolidated Expenses Statement from Research Projects financed by Federal Funds from The United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

- Project 14: Evaluating corralling and the effect of dung beetles on transmission an.
- Project 15: Predicting risk of human leptospirosis by environmental surveillance.
- Project 16: Use of Isphosphonates to reduce the calcification process of Cysticercosis in animal models.
- Project 17: Impact of Fascioliasis among children in the Peruvian highlands.
- Project 18: Predictors of cardiomyopathy progression in a Chagas disease cohort in Bolivia.
- Project 19: HIV prevention and care for Peruvian MSM and transgender women.
- Project 20: Latin America treatment & innovation network in mental health (Latin-MH).
- Project 21: Runachay: information and communication technologies for global health research.
- Project 22: Natural infection of Norovirus and Sapovirus in a birth cohort in a Peruvian.
- Project 23: Strengthening and consolidating resources for HIV prevention in the Peruvian military.
- Project 24: Shared laboratory resource-core c - ICEMR.
- Project 25: Tod@s (transforming ourselves through dialogue, organizing, and service).
- Project 26: Implementation of foot thermometry and SMS to prevent diabetic foot ulcer.
- Project 27: Epidemiology of malaria in the Peruvian and Brazilian Amazon.
- Project 28: Lactoferrin for prevention of sepsis in infants.
- Project 29: infectious diseases training program in Bolivia: South - South training.
- Project 30: Human immune signatures of dengue virus and Mycobacterium tuberculosis.
- Project 31: Human parasite and mosquito determinants of plasmodium Vivax.
- Project 32: Parasite density as a biomarker of therapeutic response in cutaneous.
- Project 33: Neufin.
- Project 34: Early detection of congenital Chagas disease.
- Project 35: Caribbean central and South America network Ccasanet.
- Project 36: Combined Albendazole plus Praziquantel in subarachnoid NCC, dcc application
- Project 37: Liver Cystic Echinococcosis: Pre-clinical assessment of a novel, single step percutaneous treatment procedure (Intracystic Albendazole Sulfoxide Injection).
- Project 38: Interamerican training for innovations in emerging infectious diseases
- Project 39: Core B data management - ICEMR.
- Project 40: HIV / STI program science training plan for Latin Americ.
- Project 41: Glocal health fellowship subcontract - Alfonso Silva Santisteban.
- Project 42: Cough - a rapid indicator of response to therapy in pulmonary tuberculosis.
- Project 43: Inter-American E-Capacity research training in infectious and chronic diseases.
- Project 44: 2/2 regional geohealth hub centered in Peru-US.
- Project 45: Glocal health fellowship subcontract - Patricia Ferrer.
- Project 46: Glocal health fellowship subcontract - Andrea Ruiz.
- Project 47: Planning a skill - Building program to prevent HIV in male and transgender sex workers in Peru.
- Project 48: Translational research development for endemic infectious diseases of Peruvian Amazon.
- Project 54: Fogarty global health fellows coordinating center.

Audit Report of the Consolidated Expenses Statement from Research Projects financed by Federal Funds from The United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

Project 55: Alternative venue for HIV testing with MSM and TW in Lima, Peru.

Project 56: Chaka: Strengthening research support structures in the Andean region.

Project 57: Improving participation in vector control campaigns through behavioral economics.

Project 58: Core A training - ICEMR.

Project 59: Exploring psychosocial determinants of the low perception of Peruvian women.

Project 60: Addressing the global burden of leptospirosis in two endemic countries.

Project 61: Pilot study on the prevalence of colonizing bacteria resist

Project 62: Young-onset dementia in Colombia - administrative supplement NIH.

Project 63: Paracas award: Need for improvements in retention in PLHIV care at HNCH.

Project 64: Mortality associated with the time of onset of highly active antiretroviral therapy (TARGA) during the course of treatment for tuberculosis in a cohort of patients with HIV infection in Peru.

The financing of these Research Projects comes from federal funds from the United States of America, specifically from National Institute of Health - NIH, through contracts and subcontracts with Universidad Peruana Cayetano Heredia. These financings are made in two ways: directly between the UPCH and NIH; and indirectly, through a subcontract where NIH funds to a University in the United States of America and this subcontracts the UPCH research services.

2. Objectives of the audit

For the audit of the Consolidated Expenses Statement of the Research Projects financed by federal funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH on universities of the United States of America for the period from January 1, 2016 to December 31, 2016, it was set the following objectives:

- Opinion on whether the consolidated expenses statement for the period from January 1, 2016, to December 31, 2016 of the Research projects financed by federal funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America , reasonably presents the costs incurred, in accordance with the rules of generally accepted government audit in the United States of America, the supplement of compliance of the Office of administration and compliance (OMB - Office of Management and Budget) of the United States of America - Circular A-133 and the international standards on auditing (ISAs).
- Evaluate and obtain an adequate understanding of the internal control implemented by Universidad Peruana Cayetano Heredia to manage research projects, evaluate control risk and identify material weaknesses in internal control.

Audit Report of the Consolidated Expenses Statement from Research Projects financed by Federal Funds from The United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

3. Scope of the audit

The scope of the audit included the examination of the Consolidated Expenses Statement of the Research Projects financed by federal funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America by the period from January 1 to December 31, 2016, and was performed in accordance with the standards of generally accepted governmental audit in the United States of America, the supplement of compliance of the Office of management and compliance (OMB - Office of Management and Budget) of the United States of America - Circular A-133 and the international standards on auditing (ISAs).

4. Results of the audit

As a result of the audit practiced to the Consolidated Expenses Statement of the Research Projects financed by federal funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America for the period between January 1 and December 31, 2016, we issued our audit report of date September 29, 2017, which is summarized below:

Consolidated Expenses Statement-

We issued our audit opinion without reservations on the consolidated expenses statement for the period from January 1 to December 31, 2016 of the Research Projects financed by federal funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America, in accordance with the accounting principles and practices described in note 2 to the Consolidated Expenses Statement.

Evaluation of internal control-

As a result of the execution of our audit procedures, we identified certain issues of internal control by which we issued a Memorandum of recommendations on the detected issues.

5. Agreed upon procedures

Compliance with the terms of contracts for Research Projects-

In the period from January 1 to December 31, 2016, the University complied with administrative financial provisions set out in the terms of conditions of contracts for the Research Projects.

Audit Report of the Consolidated Expenses Statement from Research Projects financed by Federal Funds from The United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

6. Comments by the Entity

The General Management of projects of the University was informed about the audit report on the Consolidated Expenses Statement for the period from January 1 to December 31, 2016 of the Research Projects, and the report on compliance with the terms of conditions of contracts, subcontracts, laws and regulations applicable to Research Projects financed by federal funds from the United States in North America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America, expressing their acceptance on their content.

Report of Independent Auditors on the Consolidated Expense Statement from research projects financed by federal funds from United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America

To the members of the Council University of Universidad Peruana Cayetano Heredia

We have audited the Consolidated Expenses Statement of sixty-four Research Projects of Universidad Peruana Cayetano Heredia which are financed by federal funds from the United States of America, through direct contracts with National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America for the period from January 1 to December 31, 2016.

Project Management´s Responsibility for the consolidated expenses statement

The Project Management of Universidad Peruana Cayetano Heredia is responsible for the preparation and reasonable presentation of the consolidated expenses statement in accordance with the accounting basis of the execution of the expense and the internal control as Project Management determines is necessary to enable the preparation of consolidated expenses statement that are free from material misstatement, whether due to fraud or error.

Responsibility for the auditor

Our responsibility is to express an opinion on this consolidated expenses statement based on our audit. Our audit was performed in accordance with the rules of generally accepted government audit in the United States of America, the supplement of compliance of the Office of administration and compliance (OMB - Office of Management and Budget) of the United States of America - Circular A-133 and the International Standards on Auditing (ISAs). These standards require that we comply with ethical requirements and that we plan and perform the audit to obtain reasonable assurance that the consolidated expenses statement are free of material misstatement.

An audit involves performing procedures to obtain audit evidence about the amounts and disclosures in the consolidated expenses statement. The procedures selected depend on the auditor's judgment, including the assessment of the risks of material misstatement of the consolidated expenses statement, whether due to fraud or error. In making those risk assessments, the auditor considers internal control relevant to the University preparation and fair presentation of the consolidated expenses statement in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the entity's internal control. An audit also includes evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates made by Management, as well as evaluating the overall presentation of the consolidated expenses statement.



Report of Independent Auditors on the Consolidated Expense Statement from research projects financed by federal funds from United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

We believe that the audit evidence we have obtained is sufficient and appropriate to provide a basis for our audit opinion.

Opinion

In our opinion, the Consolidated Expenses Statement of the sixty four Research Projects of Universidad Peruana Cayetano Heredia, presents fairly, in all material respects, the financial position of these Research Projects executed by Universidad Peruana Cayetano Heredia and financed by federal funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities in the United States of North America for the period from January 1 to December 31, 2016, in accordance with the rules of generally accepted governmental audit in the United States of America, the supplement of compliance of the Office of management and compliance (OMB - Office of Management and Budget) of the United States of America - Circular A-133 and the International Standards on Auditing (ISAs).

Other matters

This report is intended for the exclusive use of Universidad Peruana Cayetano Heredia and of the National Institute of Health (NIH) and must not be distributed or used by third parties without the authorization of such entities.

Lima, Peru

September 29, 2017

Countersigned by:

Paredes, Burgos & Asociados

Tania Arana

C.P.C.C. Registration No. 28060

Universidad Peruana Cayetano Heredia

Consolidated Expenses Statement from Research Projects

For the period from January 1, 2016 to December 31, 2016

Research Projects	Benefits to employees US\$	Training US\$	Travel expenses US\$	Consultants US\$	Equipment and/or supplies US\$	Laboratory and patient care services US\$	Other US\$	Consortium US\$	Indirect costs US\$	Total US\$
Project 1	76,456	106,293	19,698	11,021	34,778	17,037	17,030	56,115	13,165	351,592
Project 2	77,739	121,424	3,067	5,000	147	-	5,335	120,623	6,928	340,263
Project 3	115,294	12,654	54,188	8,011	62,971	16,233	35,235	-	24,611	329,196
Project 4	179,162	-	13,874	1,788	46,404	1,914	50,959	-	31,519	325,620
Project 5	90,783	-	16,467	14,533	19,305	-	13,011	146,451	16,208	316,759
Project 6	83,647	61,818	22,222	-	6,428	472	22,765	99,258	12,454	309,064
Project 7	109,960	-	24,764	5,400	8,725	34,810	57,579	-	19,402	260,639
Project 8	109,807	659	11,887	13,166	54,028	1,158	32,430	-	17,756	240,892
Project 9	50,542	1,073	1,903	-	7,895	13,789	11,124	108,305	14,450	209,082
Project 10	116,969	36,094	4,372	11,454	5,868	-	10,897	-	18,160	203,813
Project 11	128,035	66	6,124	24,000	21,815	1,239	13,302	-	5,712	200,293
Project 12	100,772	180	12,424	15,271	3,557	242	18,850	-	13,436	164,731
Project 13	44,994	31,755	34,071	1,902	18,846	1,668	27,326	-	4,040	164,602
Project 14	36,122	-	6,874	13,846	54,585	10,333	23,770	-	12,121	157,652
Project 15	84,796	-	12,085	-	27,107	530	8,867	-	15,212	148,597
Project 16	77,539	50	3,916	12,856	23,214	3,717	13,034	-	4,919	139,246
Project 17	95,819	-	7,125	-	15,608	1,082	4,176	-	8,151	131,962

Universidad Peruana Cayetano Heredia

Consolidated Expenses Statement from Research Projects

For the period from January 1, 2016 to December 31, 2016

Research Projects	Benefits to employees US\$	Training US\$	Travel expenses US\$	Consultants US\$	Equipment and/or supplies US\$	Laboratory and patient care services US\$	Other US\$	Consortium US\$	Indirect costs US\$	Total US\$
Project 18	61,234	-	285	2,495	6,744	28,800	12,213	-	9,200	120,971
Project 19	90,330	-	8,415	-	599	1,755	6,267	-	12,452	119,818
Project 20	82,955	504	748	-	1,890	-	22,453	-	6,596	115,145
Project 21	82,093	-	2,891	1,159	4,724	150	13,543	-	7,891	112,450
Project 22	43,848	-	2,729	-	27,635	7,797	23,805	-	5,996	111,810
Project 23	76,194	1,566	13,864	1,140	2,684	1,305	9,811	415	-	106,980
Project 24	58,286	950	1,325	-	14,675	-	27,418	-	2,807	105,461
Project 25	67,486	-	4,124	15,126	66	3,332	6,863	-	7,768	104,765
Project 26	61,024	-	378	-	1,420	5,564	8,691	10,000	10,268	97,345
Project 27	51,133	-	12,523	-	13,245	1,989	9,271	-	8,390	96,551
Project 28	45,384	1,009	3,394	2,053	714	2,637	28,060	-	8,767	92,019
Project 29	29,029	6,898	6,642	5,100	10,305	1,840	22,512	-	2,858	85,185
Project 30	7,432	-	453	-	10,741	47,201	236	-	8,349	74,411
Project 31	46,078	-	7,609	-	3,701	1,079	4,019	-	6,252	68,737
Project 32	42,834	-	2,655	-	7,626	1,511	182	-	4,061	58,870
Project 33	22,118	25,096	5,755	-	93	-	1,136	-	3,251	57,449
Project 34	24,968	-	61	-	21,057	-	6,128	-	5,195	57,408
Project 35	49,912	-	2,511	-	-	-	1,043	-	3,501	56,967

Universidad Peruana Cayetano Heredia

Consolidated Expenses Statement from Research Projects

For the period from January 1, 2016 to December 31, 2016

Research Projects	Benefits to employees US\$	Training US\$	Travel expenses US\$	Consultants US\$	Equipment and/or supplies US\$	Laboratory and patient care services US\$	Other US\$	Consortium US\$	Indirect costs US\$	Total US\$
Project 36	28,166	1,119	6,173	9,250	6,082	-	2,717	-	3,000	56,507
Project 37	13,939	-	5,289	9,600	2,805	7,775	6,564	-	5,400	51,372
Project 38	17,475	-	1,579	-	6,359	1,527	7,979	-	4,018	38,937
Project 39	32,490	-	290	219	1,042	-	362	-	4,268	38,671
Project 40	37	-	17,995	-	404	1,492	16,587	-	-	36,515
Project 41	18,085	720	3,187	-	2,513	2,571	6,657	-	1,660	35,393
Project 42	10,888	-	1,702	-	9,690	-	8,794	-	2,222	33,296
Project 43	22,476	-	-	-	10,317	-	25	-	-	32,818
Project 44	2,000	4,800	8,756	-	815	-	13,334	-	-	29,704
Project 45	2,976	9,455	2,678	-	6,504	5,918	116	-	1,653	29,300
Project 46	7,426	10,643	4,713	-	544	1,307	434	-	2,647	27,714
Project 47	16,257	-	-	3,687	103	-	4,177	-	2,475	26,699
Project 48	3,215	15,510	-	-	-	671	20	-	6,901	26,317
Project 49	9,279	410	4,591	-	5,857	-	3,626	-	2,160	25,923
Project 50	881	-	466	-	6,097	752	15,023	-	1,536	24,754
Project 51	6,211	-	-	16,200	-	-	22	-	1,508	23,941

Universidad Peruana Cayetano Heredia

Consolidated Expenses Statement from Research Projects

For the period from January 1, 2016 to December 31, 2016

Research Projects	Benefits to employees US\$	Training US\$	Travel expenses US\$	Consultants US\$	Equipment and/or supplies US\$	Laboratory and patient care services US\$	Other US\$	Consortium US\$	Indirect costs US\$	Total US\$
Project 52	3,927	11,091	-	-	1,637	-	296	-	2,053	19,004
Project 53	12,370	-	24	-	-	267	2,539	-	2,660	17,860
Project 54	6,351	-	6,828	-	1,143	-	1,516	-	2,000	17,839
Project 55	4,497	-	1,881	1,143	2,337	3,831	1,845	-	1,634	17,168
Project 56	-	6,000	4,233	-	-	-	1,218	-	1,900	13,351
Project 57	8,738	-	410	-	2,287	198	403	-	803	12,838
Project 58	7,308	535	2,628	-	3	-	308	-	1,310	12,092
Project 59	-	-	744	4,511	-	1,220	230	-	-	6,705
Project 60	-	-	-	-	-	-	30	-	4,513	4,543
Project 61	1,166	-	-	-	384	-	20	-	306	1,877
Project 62	-	-	35	-	954	-	-	-	680	1,669
Project 63	887	-	68	-	38	-	499	-	-	1,491
Project 64	1,109	-	-	-	-	-	-	-	-	1,109
Total expenses	2,758,928	468,372	405,690	209,932	607,118	236,714	664,680	541,167	409,153	6,301,753

Universidad Peruana Cayetano Heredia

Notes on the Consolidated Expenses Statement of the Research Projects financed by federal funds from the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America

Period from January 1 to December 31, 2016

1. The Agency's background and research projects

Of the Entity

Universidad Peruana Cayetano Heredia (hereinafter the University) was incorporated in the city of Lima, Peru, as a legal nonprofit entity, of private law, with autonomy of academic, administrative, economic and policy Government, created under the auspices of the Supreme Decree No. 018 from December 22, 1961. The University is governed by the law N ° 30220 "University Law", as well as by its own statute, the records of meetings of the University Assembly, the minutes of the University Council and by its internal policies.

As of December 31, 2016, the University maintains the subsidiaries, Clinica Medica Cayetano Heredia S.A., Bioincuba S.A.C., and Agency Operator Cayetano Heredia S.A., domiciled in Peru, in which keeps the following participation 63.93%, 99.99% and 99.99%, respectively.

The University provides academic services at the undergraduate level through their 18 careers: Medicine; School of medical technology: Clinical Laboratory, Radiology, Therapy of Hearing, Voice and Language, Physical Therapy and Rehabilitation; Stomatology; Biology, Pharmacy and Biochemistry; Nutrition; Chemistry; Health Administration; Public Health and Global Health; Psychology; Initial Education; Primary Education; Veterinary Medicine y Zootechnics; Nursing and Occupational Therapy. At the post-graduate level provides academic services such as specializations, master's degrees, doctorates, among others. In 2007, the University received the institutional accreditation of the International Institute for the Quality Assurance (IAC) in teaching and university management, becoming the first Peruvian University accredited internationally.

Also, the University carries out research and consultancy projects through agreements, which represent another of its strategic development lines. A unique feature of the University is the support that provides research, having obtained many awards and achievements of its students, teachers and graduates. Resources for these activities are gathered from different local and foreign cooperating entities.

To develop its academic and research activities, the University has four campuses in San Martin de Porres, La Molina, Miraflores and Lurin, and two research centers located in Tumbes and Piura provinces.

Notes on the Consolidated Expenses Statement of the Research Projects financed by federal funds of the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

The University has an average of 4,220 students in undergraduate level and 6,695 students in post-graduate level in 2016 (3,805 students in undergraduate level and 5,650 students in post-graduate level in 2015).

The University complements its academic activities through two educational clinics:

- The Stomatology Clinic, which aims to complement the academic activities of the University and to support research projects that develop the academic departments of the Faculty of Stomatology; and
- The Veterinary Clinic that aims to complement the academic activities of the University and to support the research projects of the Faculty of Veterinary and Zootechnics.

The legal address of the University (University campus and educational clinics) is located in Av. Honorio Delgado No. 430, Urbanización Ingeniería, San Martín de Porres, Lima, Peru.

Research Projects:

Research Projects maintained by Universidad Peruana Cayetano Heredia for the period from January 1, 2016 until 31 December 2016 are the following:

- Project 1: Peru infectious diseases epidemiology research training consortium.
- Project 2: Kuskaya: an interdisciplinary training program for innovation in global health.
- Project 3: Optimizing ring screening strategy for control of Taenia Solium infection.
- Project 4: Launching a salt substitute to reduce blood pressure at the population level-Peru.
- Project 5: 1/2 regional geohealth centered in Peru -Peru.
- Project 6: Paracas: Program for advanced research capacities for aids in Peru.
- Project 7: Tuberculosis trials consortium.
- Project 8: Colonization of the placenta by Treponema Pallidum, congenital syphilis, and a new vaccine.
- Project 9: Syphilis: translating technology to understand a neglected epidemic.
- Project 10: Disrupting vector-borne disease transmission in complex urban environments.
- Project 11: Combined Albendazole and Praziquantel in subarachnoid NCC, CCC, lead application.
- Project 12: Improving participation in vector control campaigns through behavioral economics.
- Project 13: Training in parasitic diseases and central nervous system infections in Peru.
- Project 14: Evaluating corralling and the effect of dung beetles on transmission an.
- Project 15: Predicting risk of human leptospirosis by environmental surveillance.
- Project 16: Use of Isphosphonates to reduce the calcification process of Cysticercosis in animal models.
- Project 17: Impact of Fascioliasis among children in the Peruvian highlands.
- Project 18: Predictors of cardiomyopathy progression in a Chagas disease cohort in Bolivia.

Notes on the Consolidated Expenses Statement of the Research Projects financed by federal funds of the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

- Project 19: HIV prevention and care for Peruvian MSM and transgender women.
- Project 20: Latin America treatment & innovation network in mental health (Latin-MH).
- Project 21: Runachay: information and communication technologies for global health research.
- Project 22: Natural infection of Norovirus and Sapovirus in a birth cohort in a Peruvian.
- Project 23: Strengthening and consolidating resources for HIV prevention in the Peruvian military.
- Project 24: Shared laboratory resource-core c - ICEMR.
- Project 25: Tod@s (transforming ourselves through dialogue, organizing, and service).
- Project 26: Implementation of foot thermometry and SMS to prevent diabetic foot ulcer.
- Project 27: Epidemiology of malaria in the Peruvian and Brazilian Amazon.
- Project 28: Lactoferrin for prevention of sepsis in infants.
- Project 29: infectious diseases training program in Bolivia: South - South training.
- Project 30: Human immune signatures of dengue virus and Mycobacterium tuberculosis.
- Project 31: Human parasite and mosquito determinants of plasmodium Vivax.
- Project 32: Parasite density as a biomarker of therapeutic response in cutaneous.
- Project 33: Neufin.
- Project 34: Early detection of congenital Chagas disease.
- Project 35: Caribbean central and South America network Ccasanet.
- Project 36: Combined Albendazole plus Praziquantel in subarachnoid NCC, dcc application
- Project 37: Liver Cystic Echinococcosis: Pre-clinical assessment of a novel, single step percutaneous treatment procedure (Intracystic Albendazole Sulfoxide Injection).
- Project 38: Interamerican training for innovations in emerging infectious diseases
- Project 39: Core B data management - ICEMR.
- Project 40: HIV / STI program science training plan for Latin Americ.
- Project 41: Glocal health fellowship subcontract - Alfonso Silva Santisteban.
- Project 42: Cough - a rapid indicator of response to therapy in pulmonary tuberculosis.
- Project 43: Inter-American E-Capacity research training in infectious and chronic diseases.
- Project 44: 2/2 regional geohealth hub centered in Peru-US.
- Project 45: Glocal health fellowship subcontract - Patricia Ferrer.
- Project 46: Glocal health fellowship subcontract - Andrea Ruiz.
- Project 47: Planning a skill - Building program to prevent HIV in male and transgender sex workers in Peru.
- Project 48: Translational research development for endemic infectious diseases of Peruvian Amazon.
- Project 54: Fogarty global health fellows coordinating center.
- Project 55: Alternative venue for HIV testing with MSM and TW in Lima, Peru.
- Project 56: Chaka: Strengthening research support structures in the Andean region.
- Project 57: Improving participation in vector control campaigns through behavioral economics.
- Project 58: Core A training - ICEMR.
- Project 59: Exploring psychosocial determinants of the low perception of Peruvian women.
- Project 60: Addressing the global burden of leptospirosis in two endemic countries.

Notes on the Consolidated Expenses Statement of the Research Projects financed by federal funds of the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

Project 61: Pilot study on the prevalence of colonizing bacteria resist

Project 62: Young-onset dementia in Colombia - administrative supplement NIH.

Project 63: Paracas award: Need for improvements in retention in PLHIV care at HNCH.

Project 64: Mortality associated with the time of onset of highly active antiretroviral therapy (TARGA) during the course of treatment for tuberculosis in a cohort of patients with HIV infection in Peru.

The financing of these Research Projects comes from federal funds from the United States of America, specifically from National Institute of Health - NIH, through contracts and subcontracts with Universidad Peruana Cayetano Heredia. These financings are made in two ways: directly between the UPCH and NIH; and indirectly, through a subcontract where NIH funds to a University in the United States of America and this subcontracts the UPCH research services.

2. Accounting policies used for the preparation of the expenses statement

Accounting principles and practices used for registration of operations and preparation of expenses statement are:

(a) Accounting system-

The General management of Projects of the University prepares the expenses statement of the projects from accounting records carried in soles, in accordance with the legal provisions in force in Peru, which are converted to US dollars using the rates of exchange prevailing on the dates of the transactions.

(b) Accounting basis -

The expenses statement of the projects are prepared by the accounting department of the University on the basis of the auxiliary records of each project and the relevant documentation of expenses.

The accrual accounting basis is used for the preparation of the expenses statement. On this basis, expenses are recognized as accrued, independently of when they are paid and are recorded in the periods to which they relate

(c) Exchange rate -

For the preparation of the expenses statement of the Research Projects, costs represent monetary units in soles converted to US dollars using the exchange rates prevailing on the dates of the transactions.

Notes on the Consolidated Expenses Statement of the Research Projects financed by federal funds of the United States of America, through direct contracts with the National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America (continued)

(d) Recognition of expenses -

Costs related to Projects are those costs executed for activities related with the execution of the Project, in accordance with the objectives and terms of each Research Project agreement.

Disbursements are supported with legally accepted receipts, following specific procedures for the recruitment and selection of suppliers. Total amount of incurred disbursements were charged to the Projects, including the value added tax.

3. Notes to the individual expenses statements of Research Projects

Individual Expenses Statements of each of the sixty-four Research Projects for the period from January 1, 2016 to December 31 2016 financed directly or indirectly by the NIH, are as follows:

Universidad Peruana Cayetano Heredia

Project 1

Expenses statement

Peru infectious diseases epidemiology research training consortium

Research project financed by federal funds from the United States of America, under a subcontract with Oregon Health & Science University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Chang, Michelle

	Implementation of the project (*) US\$
Direct costs	
Training	106,293
Benefits to employees	76,456
Consortium	56,115
Equipment and/or supplies	34,778
Travel expenses	19,698
Laboratory and patient care services	17,037
Consultants	11,021
Other	<u>17,030</u>
Total direct costs	<u>338,427</u>
Total indirect costs - Overhead	<u>13,165</u>
Total costs	<u>351,592</u>
-	

Implementation of the project: From September 2015 to February 2020.

Project General Objective: The aim of this project is to study the key epidemiological and ecological aspects of the pandemic and seasonal flu.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 2

Expenses statement

Kuskaya: An interdisciplinary training program for innovation in global health

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Blas, Magaly

	Implementation of the project (*) US\$
Direct costs	
Training	121,424
Consortium	120,623
Benefits to employees	77,739
Consultants	5,000
Travel expenses	3,067
Equipment and/or supplies	147
Other	<u>5,335</u>
Total direct costs	<u>333,335</u>
Total indirect costs - Overhead	<u>6,928</u>
Total costs	<u>340,263</u>
-	

Implementation of the project: From September 2013 to August 2018.

Project General objective: The aim of this research is to develop a new generation of leaders in Global Health (scholars Kuskaya) innovative, able to work collaboratively with colleagues in the North and South in interdisciplinary teams, framing problems for help to seek solutions through research.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 3

Expenses statement

Optimizing ring screening strategy for control of Taenia solium infection

Research project financed by federal funds from the United States of America, under a subcontract with Oregon Health & Science University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Garcia, Hector

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	115,294
Equipment and/or supplies	62,971
Travel expenses	54,188
Laboratory and patient care services	16,233
Training	12,654
Consultants	8,011
Other	<u>35,235</u>
Total direct costs	<u>304,584</u>
Total indirect costs - Overhead	<u>24,611</u>
Total costs	<u><u>329,196</u></u>

Implementation of the project: From December 2013 to November 2017.

Project General objective: The aim of this research is to develop a prospective clinical intervention based on the community with 5 study arms comparing intervention strategies in rings versus mass treatments for the control of the transmission of the Taenia Solium.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 4

Expenses statement

Launching a salt substitute to reduce blood pressure at the population level - Peru

Research project financed by federal funds from the United States of America, under a subcontract with Johns Hopkins University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Miranda, Jaime

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	179,162
Equipment and/or supplies	46,404
Travel expenses	13,874
Laboratory and patient care services	1,914
Consultants	1,788
Other	<u>50,959</u>
Total direct costs	<u>294,100</u>
Total indirect costs - Overhead	<u>31,519</u>
Total costs	<u>325,620</u>

Implementation of the project: From April 2015 to March 2017.

Project General objective: The aim of this research is to implement an intervention of replacement of salt in the population coping with high blood pressure.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 5 Expenses Statement

1/2 Regional Geohealth Centered in Peru - Peru

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gonzales, Gustavo

	Implementation of the project (*) US\$
Direct costs	
Consortium	146,451
Benefits to employees	90,783
Equipment and/or supplies	19,305
Travel expenses	16,467
Consultants	14,533
Other	<u>13,011</u>
Total direct costs	<u>300,551</u>
Total indirect costs - Overhead	<u>16,208</u>
Total costs	<u>316,759</u>
-	

Implementation of the project: From September 2015 to August 2020.

Project General objective: The aim of this research is a study of the intervention of the contamination of air intradomicilliary and use of biomass, as well as to evaluate the relationship between outdoor air pollution and disease respiratory cardio in Lima, Peru; and develop a predictive model of the impact of climate change on diarrheal diseases and diseases transmitted by vectors (dengue, Chagas and malaria).

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 6

Expenses statement

Paracas: Program for advanced research capacities for Aids in Peru

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gotuzzo, Eduardo

	Implementation of the project (*) US\$
Direct costs	
Consortium	99,258
Benefits to employees	83,647
Training	61,818
Travel expenses	22,222
Equipment and/or supplies	6,428
Laboratory and patient care services	472
Other	<u>22,765</u>
Total direct costs	<u>296,610</u>
Total indirect costs - Overhead	<u>12,454</u>
Total costs	<u>309,064</u>
-	

Implementation of the project: From August 2014 until May 2019.

Project General objective: This project aims to nurture and strengthen a mature environment and most challenging ever for research on HIV and training in research on HIV in Universidad Peruana Cayetano Heredia.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 7

Expenses statement

Tuberculosis Trials Consortium

Research project financed by federal funds from the United States of America, under a subcontract with Vanderbilt University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gotuzzo, Eduardo

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	109,960
Laboratory and patient care services	34,810
Travel expenses	24,764
Equipment and/or supplies	8,725
Consultants	5,400
Other	<u>57,579</u>
Total direct costs	<u>241,238</u>
Total indirect costs - Overhead	<u>19,402</u>
Total costs	<u>260,639</u>
-	

Implementation of the project: From October 2015 until September 2017.

Project General objective: The objective of this research is to evaluate the efficacy, safety, and tolerance and develop a dosing algorithm to determine the dose of levofloxacin acceptable.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 8

Expenses statement

Colonization of the placenta by Treponema Pallidum, Congenital Syphilis, and a new vaccine

Research project financed by federal funds from the United States of America, under a subcontract with Rutgers University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Centurion, Arthur

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	109,807
Equipment and/or supplies	54,028
Consultants	13,166
Travel expenses	11,887
Laboratory and patient care services	1,158
Training	659
Other	<u>32,430</u>
Total direct costs	<u>223,136</u>
Total indirect costs - Overhead	<u>17,756</u>
Total costs	<u>240,892</u>
-	

Implementation of the project: From August 2015 until January 2017.

Project General objective: The aim of this research is to determine the impact of the Adaptive immune response by antibodies to syphilis both in colonization of the placenta as well as the clinical presentations of congenital syphilis in pregnant women.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 9

Expenses statement

Syphilis: Translating technology to understand a neglected epidemic

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Caceres, Carlos

	Implementation of the project (*) US \$
Direct costs	
Consortium	108,305
Benefits to employees	50,542
Laboratory and patient care services	13,789
Equipment and/or supplies	7,895
Travel expenses	1,903
Training	1,073
Other	<u>11,124</u>
Total direct costs	<u>194,631</u>
Total indirect costs - Overhead	<u>14,450</u>
Total costs	<u>209,082</u>
-	

Implementation of the project: From August 2012 until July 2017.

General project objective: The aim of this research is to study unattended syphilis and determine strategies to improve their treatment.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 10

Expenses statement

Disrupting borne disease transmission in complex urban Environments

Research project financed by federal funds from the United States of America, under a subcontract with the University of Pennsylvania.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Náquira, Cesar

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	116,969
Training	36,094
Consultants	11,454
Equipment and/or supplies	5,868
Travel expenses	4,372
Other	<u>10,897</u>
Total direct costs	<u>185,654</u>
Total indirect costs - Overhead	<u>18,160</u>
Total costs	<u>203,813</u>
-	

Implementation of the project: From June 2015 until May 2017.

Project General Objective: The aim of this research is to improve models of vector-borne transmission by the development of realistic methods to make inferences about the spatial processes.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 11

Expenses statement

Combined Albendazole and Praziquantel in Subarachnoid NCC, CCC, Lead application

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Garcia, Hector

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	128,035
Consultants	24,000
Equipment and/or supplies	21,815
Travel expenses	6,124
Laboratory and patient care services	1,239
Training	66
Other	<u>13,302</u>
Total direct costs	<u>194,581</u>
Total indirect costs - Overhead	<u>5,712</u>
Total costs	<u>200,293</u>
-	

Implementation of the project: From September 2015 up to July 2020.

Project General objective: The aim of this research is to study the treatment of Albendazole (ABZ) combined with Praziquantel (PZQ) in patients with the disease of neurocysticercosis (NCC).

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 12

Expenses statement

Improving participation in vector control campaigns through behavioral economics

Research project financed by federal funds from the United States of America, under a subcontract with the University of Pennsylvania.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Náquira, Cesar

	Implementation of the project (*) US \$
Direct costs	
Benefits to employees	100,772
Consultants	15,271
Travel expenses	12,424
Equipment and/or supplies	3,557
Laboratory and patient care services	242
Training	180
Other	<u>18,850</u>
Total direct costs	<u>151,295</u>
Total indirect costs - Overhead	<u>13,436</u>
Total costs	<u>164,731</u>
-	

Implementation of the project: From September 2014 until May 2019.

Project General objective: The aim of this research is to carry out fieldwork randomized with three interventions to increase participation in campaigns of control of vectors that carry out the Ministry of Health (MINSa) in Arequipa, Peru.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 13

Expenses statement

Training in parasitic diseases and central nervous system infections in Peru

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Garcia, Hector

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	44,994
Travel expenses	34,071
Training	31,755
Equipment and/or supplies	18,846
Consultants	1,902
Laboratory and patient care services	1,668
Other	<u>27,326</u>
Total direct costs	<u>160,561</u>
Total indirect costs - Overhead	<u>4,040</u>
Total costs	<u>164,602</u>
-	

Implementation of the project: From July 1999 to February 2021.

Project General objective: The aim of this research is to provide training in infectious diseases to build an infrastructure for research in Peru, so that they can study infectious diseases of local importance, developing and training to the students in programs of short term, medium term, and long-term, both abroad and in Peru.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 14

Expenses statement

Evaluating corralling and the effect of dung beetles on transmission swine cysticercosis

Research project financed by federal funds from the United States of America, under a subcontract with Oregon Health & Science University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gonzalez, Armando

	Implementation of the project (*) US \$
Direct costs	
Equipment and/or supplies	54,586
Benefits to employees	36,122
Consultants	13,846
Laboratory and patient care services	10,333
Travel expenses	6,874
Other	<u>23,770</u>
Total direct costs	<u>145,530</u>
Total indirect costs - Overhead	<u>12,121</u>
Total costs	<u>157,652</u>
-	

Implementation of the project: From July 2015 until June 2017.

General project objective: The aim of this research is to evaluate the effect of the pens and dung beetles in the transmission of porcine cysticercosis using a longitudinal study that assesses the impact on three groups of pigs, freely bred, reared in poultry and raised in pens with networks that prevent beetle entry.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 15

Expenses statement

Predicting risk of Human Leptospirosis by environmental surveillance

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Torres, Katherine

	Implementation of the project (*) US \$
Direct costs	
Benefits to employees	84,796
Equipment and/or supplies	27,107
Travel expenses	12,085
Laboratory and patient care services	530
Other	<u>8,867</u>
Total direct costs	<u>133,386</u>
Total indirect costs - Overhead	<u>15,212</u>
Total costs	<u>148,597</u>
-	

Implementation of the project: From June 2013 until May 2017.

Project General Objective: The objective of this research is to develop and validate new tools and approaches to reduce the impact of leptospirosis in human health. In this phase is intended to i) determine its incidence, prevalence, duration and clinical consequences in humans; (ii) to quantify, identify and determine the local distribution of species in environmental sources of transmission in urban and rural communities, where it is endemic; and (iii) use heuristics to determine if their identification and quantification in environmental, rural and urban contexts reflect the risk of acquiring severe leptospirosis versus not severe in humans.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 16

Expenses statement

Use of bisphosphonates to reduce the calcification process of Cysticercosis in animal models

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Bustos, Javier

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	77,539
Equipment and/or supplies	23,214
Consultants	12,856
Travel expenses	3,916
Laboratory and patient care services	3,717
Training	50
Other	13,034
Total direct costs	<u>134,327</u>
Total indirect costs - Overhead	<u>4,919</u>
Total costs	<u>139,246</u>

Implementation of the project: From March 2015 until February 2020.

Project General objective: The aim of this research is to assess whether bisphosphonates reduce the probability and the degree of residual calcification from the degeneration of muscle and brain degeneration of brain cyst and cysts in the animal models.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 17

Expenses statement

Impact of fascioliasis among children in the Peruvian Highlands

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Cabada, Miguel

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	95,819
Equipment and/or supplies	15,608
Travel expenses	7,125
Laboratory and patient care services	1,082
Other	<u>4,176</u>
Total direct costs	<u>123,811</u>
Total indirect costs - Overhead	<u>8,151</u>
Total costs	<u>131,962</u>
-	

Implementation of the project: From February 2013 until January 2018.

Project General Objective: The aim of this research is to define the epidemiology of the fascioliasis clinical and subclinical in an endemic area in Cusco, Peru, as well as the impact of the subclinical fascioliasis on nutrition and anemia in children and the mechanisms involved in the pathogenesis anemia and malnutrition associated with fascioliasis.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 18

Expenses statement

Predictors of progression in Chagas cardiomyopathy disease cohort in Bolivia

Research project financed by federal funds from the United States of America, under a subcontract with Johns Hopkins University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Verastegui, Manuela

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	61,234
Laboratory and patient care services	28,800
Equipment and/or supplies	6,744
Consultants	2,495
Travel expenses	285
Other	<u>12,213</u>
Total direct costs	<u>111,771</u>
Total indirect costs - Overhead	<u>9,200</u>
Total costs	<u>120,971</u>
-	

Implementation of the project: From February 2015 until January 2017.

Project General objective: The aim of this research is to determine if the treatment of the biomarkers that will be used for the early detection of Chagas disease heart may reflect early changes in structure and cardiac function, substances such as type Natriuretic Bpeptido released in response to heart disease or a substance such as transforming growth factor, implicated in the pathogenesis of heart at the cellular level.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 19

Expenses statement

HIV prevention and care for Peruvian MSM and transgender women

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Francisco.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Caceres, Carlos

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	90,330
Travel expenses	8,415
Laboratory and patient care services	1,755
Equipment and/or supplies	599
Other	<u>6,267</u>
Total direct costs	<u>107,366</u>
Total indirect costs - Overhead	<u>12,452</u>
Total costs	<u>119,818</u>
-	

Implementation of the project: From February 2016 until December 2020.

Project General objective The aim of this research is to improve the quality of care in prevention and treatment of HIV run the MSM population and of transwomen in the intervention area; in the context of an adequate attention to the needs of the population, taking as a framework the right to health approach in the context of the HIV prevention and care continuum.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 20

Expenses statement

Latin America treatment & innovation network in mental health (Latin-MH)

Research project financed by federal funds from the United States of America, under a subcontract with Fundação Faculdade de Medicina.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Miranda, Jaime

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	82,955
Equipment and/or supplies	1,890
Travel expenses	748
Training	10 °
Other	<u>22,453</u>
Total direct costs	<u>108,549</u>
Total indirect costs - Overhead	<u>6,596</u>
Total costs	<u>115,145</u>

Implementation of the project: From September 2015 to August 2017.

Project General Objective: The aim of this research is to contribute to the reduction of the gap in treatment of depression in Latin America, using proven treatment models, relying on existing resources in primary care, and taking advantage of the accelerated growth of technology in our country.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 21

Expenses statement

Runachay: Information and communication technologies for global health research

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Blas, Magaly

	Implementation of the project (*) US \$
Direct costs	
Benefits to employees	82,093
Equipment and/or supplies	4,724
Travel expenses	2,891
Consultants	1,159
Laboratory and patient care services	150
Other	<u>13,543</u>
Total direct costs	<u>104,559</u>
Total indirect costs - Overhead	<u>7,891</u>
Total costs	<u>112,450</u>
-	

Implementation of the project: From September 2013 to August 2018.

Project General Objective: The aim of this project is to develop a new electronic platform to offer opportunities for distance learning in Spanish in the short and medium term in research and in the use of ICT for research in Global Health.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 22

Expenses statement

Natural infection of Norovirus and Sapovirus in a birth cohort of Peruvian Kids

Research project financed by federal funds from the United States of America, under a subcontract with Johns Hopkins University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gilman, Robert

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	43,848
Equipment and/or supplies	27,635
Laboratory and patient care services	7,797
Travel expenses	2,729
Other	<u>23,805</u>
Total direct costs	<u>105,814</u>
Total indirect costs - Overhead	<u>5,996</u>
Total costs	<u>111,810</u>
-	

Implementation of the project: From June 2015 until May 2017.

Project General Objective: The aim of this research is to characterize the epidemiology of norovirus (NV) and sapovirus (SV) in Peruvian children. Evaluate the acquisition of protective immunity to NV in a setting of frequent exposure.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 23

Expenses statement

Strengthening and consolidating resources for HIV prevention in the Peruvian Military

Research project financed by federal funds from the United States of America, under a subcontract with Navsup Fleet Logistics Support Center.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Caceres, Carlos

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	76,194
Travel expenses	13,864
Equipment and/or supplies	2,684
Training	1,566
Laboratory and patient care services	1,305
Consultants	1,140
Consortium	415
Other	9,811
	<hr/>
Total direct costs	106,980
	<hr/>
Total indirect costs - Overhead	-
	<hr/>
Total costs	106,980
	<hr/>
-	

Implementation of the project: From March 2015 to 2019 February.

Project General Objective: The aim of this research is to improve access to the HIV prevention in the military population at greater risk from four regions of the country during his first year (Lima-Callao, Piura, Iquitos and Arequipa), through the strengthening of existing resources and COPRECOS-Peru as an instance of address.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 24

Expenses statement

Shared laboratory Resource - Core C - ICEMR

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gamboa, Dionicia

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	58,286
Equipment and/or supplies	14,675
Travel expenses	1,325
Training	950
Other	<u>27,418</u>
Total direct costs	<u>102,654</u>
Total indirect costs - Overhead	<u>2,807</u>
Total costs	<u>105,461</u>
-	

Implementation of the project: From January 2016 until June 2017.

Project General Objective: The aim of this research is to create and manage a common platform for research at Universidad Peruana Cayetano Heredia that guarantees the success of this Centre internationally.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 25

Expenses statement

Tod@S (Transforming ourselves through dialogue, organizing, and service)

Research project financed by federal funds from the United States of America, under a subcontract with Fenway Community Health Center.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Silva, Alfonso

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	67,486
Consultants	15,126
Travel expenses	4,124
Laboratory and patient care services	3,332
Equipment and/or supplies	66
Other	<u>6,863</u>
Total direct costs	<u>96,998</u>
Total indirect costs - Overhead	<u>7,768</u>
Total costs	<u>104,765</u>
-	

Implementation of the project: From June 2015 until June 2017.

Project General Objective: The aim of this research is to improve the safety and well-being of transgender people affected by violence, harassment and violations of human rights and in Peru through the creation of a working group.

(*) It covers the period of our review, from the 2 June 2015 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 26

Expenses statement

Implementation of foot thermometry and SMS to prevent diabetic foot ulcer

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Miranda, Jaime

	Implementation of the project (*) US \$
Direct costs	
Benefits to employees	61,024
Other	8,691
Laboratory and patient care services	5,564
Equipment and/or supplies	1,420
Travel expenses	378
Consortium	<u>10,000</u>
Total direct costs	<u>87,076</u>
Total indirect costs - Overhead	<u>10,268</u>
Total costs	<u>97,345</u>
-	

Implementation of the project: From September 2014 until September 2016.

Project General Objective: The aim of this research is to determine the usefulness of text messaging to remind patients to perform the measurements and assess the impact on the result.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 27

Expenses statement

Epidemiology of Malaria in the Peruvian and Brazilian Amazon

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Llanos, Elmer

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	51,133
Equipment and/or supplies	13,245
Travel expenses	12,523
Laboratory and patient care services	1,989
Other	9,271
	<hr/>
Total direct costs	88,162
	<hr/>
Total indirect costs - Overhead	8,390
	<hr/>
Total costs	96,551
-	<hr/>

Implementation of the project: From January 2010 until June 2017.

Project General Objective: The aim of this research is to determine the impact of asymptomatic carriers on the epidemiology and control of malaria in the Peruvian Amazon.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 28

Expenses statement

Lactoferrin for prevention of sepsis in infants

Research project financed by federal funds from the United States of America, under a subcontract with University of Texas Health Science Center at Houston.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Ochoa, Theresa

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	45,384
Travel expenses	3,394
Laboratory and patient care services	2,637
Consultants	2,053
Training	1,009
Equipment and/or supplies	714
Other	<u>28,060</u>
Total direct costs	<u>83,252</u>
Total indirect costs - Overhead	<u>8,767</u>
Total costs	<u>92,019</u>
-	

Implementation of the project: From April 2016 to March 2017.

Project General Objective: The aim of this research is to determine if the lactoferrin daily administered orally as a nutritional supplement to low-income children, improve their health, simulating its protective role in breast milk.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 29

Expenses statement

Infectious diseases training program in Bolivia: South - South Training

Research project financed by federal funds from the United States of America, under a subcontract with Johns Hopkins University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gilman, Robert

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	29,029
Equipment and/or supplies	10,305
Training	6,898
Travel expenses	6,642
Consultants	5,100
Laboratory and patient care services	1,840
Other	<u>22,512</u>
Total direct costs	<u>82,327</u>
Total indirect costs - Overhead	<u>2,858</u>
Total costs	<u>85,185</u>
-	

Implementation of the project: From May 2015 until January 2018.

Project General objective: The aim of this research is to develop and build a training program sustainable long-term tropical infectious diseases in Bolivia.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 30

Expenses statement

Human immune signatures of Dengue virus and Mycobacterium Tuberculosis

Research project financed by federal funds from the United States of America, under a subcontract with La Jolla Institute of Allergy and Immunology.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gilman, Robert

	Implementation of the project (*) US\$
Direct costs	
Laboratory and patient care services	47,201
Equipment and/or supplies	10,741
Benefits to employees	7,432
Travel expenses	453
Other	<u>236</u>
Total direct costs	<u>66,061</u>
Total indirect costs - Overhead	<u>8,349</u>
Total costs	<u>74,411</u>
-	

Implementation of the project: From June 2015 until May 2017.

Project General objective: The objective of this research is to characterize immune signatures (IMS) on individuals associated with four different from Mycobacterium tuberculosis (MTB) of exhibition States, i.e., those who have 1) contained latent infection, 2) infection (uncontainable characterized as an active disease, 3) received BCG or experimental vaccination, 4) non-exposed individuals who were not vaccinated and no evidence of past or present infection.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 31

Expenses statement

Human parasite and mosquito determinants of Plasmodium Vivax

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Llanos, Elmer

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	46,078
Travel expenses	7,609
Equipment and/or supplies	3,701
Laboratory and patient care services	1,079
Other	4,019
	<hr/>
Total direct costs	62,486
	<hr/>
Total indirect costs - Overhead	6,252
	<hr/>
Total costs	68,737
	<hr/>

Implementation of the project: From January 2016 until June 2017.

Project General Objective: The aim of this research is to know the interrelationship humane-parasite - mosquito as determinants of transmission of Plasmodium Vivax.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 32

Expenses statement

Parasite density as a biomarker of therapeutic response in cutaneous

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Zimic, Mirko

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	42,834
Equipment and/or supplies	7,626
Travel expenses	2,655
Laboratory and patient care services	1,511
Other	182
	<hr/>
Total direct costs	54,809
	<hr/>
Total indirect costs - Overhead	4,061
	<hr/>
Total costs	58,870
-	<hr/>

Implementation of the project: From August 2015 until July 2016.

Project General Objective: The aim of this research is to determine the density of the parasite as a biomarker of therapeutic response in the skin.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 33

Expenses statement

Neufin

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gallo, Carla

	Implementation of the project (*) US\$
Direct costs	
Training	25,096
Benefits to employees	22,118
Travel expenses	5,755
Equipment and/or supplies	93
Other	<u>1,136</u>
Total direct costs	<u>54,199</u>
Total indirect costs - Overhead	<u>3,251</u>
Total costs	<u>57,449</u>
-	

Implementation of the project: From March 2016 until February 2017.

Project General Objective: The aim of this project is to develop sustainable research capacity in Bolivia, Peru, and Argentina in the areas of genetics and neuropsychiatric research involving persons from indigenous communities in South America.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 34

Expenses statement

Early detection of congenital Chagas disease

Research project financed by federal funds from the United States of America, under a subcontract with Johns Hopkins University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gilman, Robert

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	24,968
Equipment and/or supplies	21,057
Travel expenses	61
Other	<u>6,128</u>
Total direct costs	<u>52,214</u>
Total indirect costs - Overhead	<u>5,195</u>
Total costs	<u>57,408</u>
-	

Implementation of the project: From July 2015 until June 2017.

Project General Objective: The aim of this research is to try different methods to diagnose Chagas disease in mothers and children, in order to initiate an early and appropriate treatment.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 35

Expenses statement

Caribbean, Central and South America Network Ccasanet

Research project financed by federal funds from the United States of America, under direct contract with the University of Vanderbilt.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gotuzzo, Eduardo

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	49,912
Travel expenses	2,511
Other	<u>1,043</u>
Total direct costs	<u>53,466</u>
Total indirect costs - Overhead	<u>3,501</u>
Total costs	<u>56,967</u>
-	

Implementation of the project: From July 2015 until June 2017.

Project General Objective: The aim of this project is to investigate the evolution of the epidemiology of HIV / AIDS in the context of the use and availability of antiretroviral therapy (ART), the differences in the programs of care and treatment of HIV, exposed but not infected.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 36

Expenses statement

Combined Albendazole Plus Praziquantel in Subarachnoid NCC, DCC Application

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Lescano, Andres

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	28,166
Consultants	9,250
Travel expenses	6,173
Equipment and/or supplies	6,082
Training	1,119
Other	<u>2,717</u>
Total direct costs	<u>53,507</u>
Total indirect costs - Overhead	<u>3,000</u>
Total costs	<u>56,507</u>
-	

Implementation of the project: From September 2015 up to July 2020.

Project General Objective: The aim of this project is to establish a coordination of data center (DCC) to the NIH clinical trial application / NINDS entitled "A Randomized Trial of Combined Albendazole plus Praziquantel for Subarachnoid Cysticercosis of the Sylvian Fissure or the" Basal Cisterns".

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 37

Expenses statement

Liver Cystic Echinococcosis: pre-clinical assessment of a novel, single step percutaneous treatment procedure (Albendazole Sulfoxide Intracystic injection)

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Santivanez, Saul

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	13,939
Consultants	9,600
Laboratory and patient care services	7,775
Travel expenses	5,289
Equipment and/or supplies	2,805
Other	<u>6,564</u>
Total direct costs	<u>45,972</u>
Total indirect costs - Overhead	<u>5,400</u>
Total costs	<u>51,372</u>
-	

Implementation of the project: From March 2016 until February 2021.

Project General objective: The aim of this research is to evaluate a new approach to the percutaneous treatment of one-step consisting of injection intraquística sulfoxide of albendazole (ABZ - SF), the active metabolic ABZ.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 38

S Expenses statement

Interamerican training for innovations in emerging Infectious diseases

Research project financed by federal funds from the United States of America, under a subcontract with Tulane University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Zimic, Mirko

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	17,475
Equipment and/or supplies	6,359
Travel expenses	1,579
Laboratory and patient care services	1,527
Other	<u>7,979</u>
Total direct costs	<u>34,919</u>
Total indirect costs - Overhead	<u>4,018</u>
Total costs	<u>38,937</u>
-	

Implementation of the project: From January 2016 until August 2017.

Project General Objective: The aim of this project is to build teams of interdisciplinary researchers that creative and sustainable make the problems of emerging infectious diseases through the development of cost-effective tools that are it can be applied effectively in Latin America and other parts of the developing world.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 39

Expenses statement

Core B Data Management - ICEMRICEMR

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: DRA. Gamboa, Dionicia

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	32,490
Equipment and/or supplies	1,042
Travel expenses	290
Consultants	219
Other	<u>362</u>
Total direct costs	<u>34,403</u>
Total indirect costs - Overhead	<u>4,268</u>
Total costs	<u>38,671</u>
-	

Implementation of the project: From January 2016 until June 2017.

Project General Objective: The aim of this research is to guide the design of the study, ensure the collection secure the necessary data in the proper format and analysis of statistical data on the activities of the program ICEMR Peru - Brazil research.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 40

Expenses statement

HIV / STI Program science training plan for Latin America

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Blas, Magaly

	Implementation of the project (*) US\$
Direct costs	
Travel expenses	17,995
Laboratory and patient care services	1,492
Equipment and/or supplies	404
Benefits to employees	37
Other	<u>16,587</u>
Total direct costs	<u>36,515</u>
Total indirect costs - Overhead	<u>-</u>
Total costs	<u>36,515</u>
-	

Implementation of the project: From September 2013 to August 2018.

Project General Objective: The aim of this project is to create an innovative training program in Sciences of the program to HIV / STIs, for the champions of the region of Los Angeles from the Academy and ministries of health to train, to interact and work together.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 41

Expenses statement

Global health fellowship subcontract - Alfonso Silva Santisteban

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Lescano, Andres

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	18,085
Travel expenses	3,187
Laboratory and patient care services	2,571
Equipment and/or supplies	2,513
Training	720
Other	<u>6,657</u>
Total direct costs	<u>33,733</u>
Total indirect costs - Overhead	<u>1,660</u>
Total costs	<u>35,393</u>
-	

Implementation of the project: From July 2015 until May 2016.

Project General Objective: The aim of this project is to teach students to plan and carry out personally a global health research project over the course of the development of the project.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 42

Expenses statement

Cough - A rapid indicator of response to therapy in Pulmonary Tuberculosis

Research project financed by federal funds from the United States of America, under a subcontract with Johns Hopkins University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gilman, Robert

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	10,888
Equipment and/or supplies	9,690
Travel expenses	1,702
Other	<u>8,793</u>
Total direct costs	<u>31,074</u>
Total indirect costs - Overhead	<u>2,222</u>
Total costs	<u>33,296</u>
-	

Implementation of the project: From February 2015 until February 2016.

Project General Objective: The aim of this project is to assess the correlation of the dynamics of the frequency of a cough and the response to treatment in patients with MDR-TB and sensitivity, as defined by changes in sputum smear and culture results.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 43

Expenses statement

Inter - American E - capacity research training in infectious and chronic diseases

Research project financed by federal funds from the United States of America, under a subcontract with Tulane University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Zimic, Mirko

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	22,476
Equipment and/or supplies	10,317
Other	25
	<hr/>
Total direct costs	32,818
	<hr/>
Total indirect costs - Overhead	-
	<hr/>
Total costs	32,818
	<hr/>

Implementation of the project: From May 2015 until April 2017.

Project General Objective: The aim of this research is to develop a platform based on the web for training on specific issues of TB - diagnosis and MODS assay.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 44

Expenses statement

2/2 Regional Geohealth Hub Centered in Peru - US

Research project financed by federal funds from the United States of America, under a subcontract with Emory University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gonzales, Gustavo

	Implementation of the project (*) US\$
Direct costs	
Travel expenses	8,756
Training	4,800
Benefits to employees	2,000
Equipment and/or supplies	815
Other	<u>13,334</u>
Total direct costs	<u>29,704</u>
Total indirect costs - Overhead	<u>-</u>
Total costs	<u>29,704</u>
-	

Implementation of the project: From September 2015 until August 2016.

Project General Objective: The aim of this project is to provide an annual weeklong workshop in the city of Lima on the environmental health with students of the Peru, Bolivia, and Ecuador with instructions of Emory University, the University of Georgia, Johns Hopkins University, Universidad de Chile and Universidad Peruana Cayetano Heredia.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 45

Expenses statement

Global health fellowship subcontract - Patricia Ferrer

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Lescano, Andres

	Implementation of the project (*) US\$
Direct costs	
Training	9,455
Equipment and/or supplies	6,504
Laboratory and patient care services	5,918
Benefits to employees	2,976
Travel expenses	2,678
Other	<u>116</u>
Total direct costs	<u>27,647</u>
Total indirect costs - Overhead	<u>1,653</u>
Total costs	<u>29,300</u>
-	

Implementation of the project: From July 2015 until May 2016.

Project General Objective: The aim of this project is to teach students to plan and carry out personally a global health research project over the course of the development of the project.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 46

Expenses statement

Global health fellowship subcontract - Andrea Ruiz

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Lescano, Andres

	Implementation of the project (*) US\$
Direct costs	
Training	10,643
Benefits to employees	7,426
Travel expenses	4,713
Laboratory and patient care services	1,307
Equipment and/or supplies	14 °
Other	434
	<hr/>
Total direct costs	25,067
	<hr/>
Total indirect costs - Overhead	2,647
	<hr/>
Total costs	27,714
	<hr/>
-	

Implementation of the project: From July 2015 until May 2016.

Project General objective: The aim of this project is to teach students to plan and carry out personally a global health research project over the course of the development of the project.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 47

Expenses statement

Planning a Skill - Building Program to prevent HIV in male and transgender sex workers in Peru

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Garcia, Patricia

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	16,257
Consultants	3,687
Equipment and/or supplies	103
Other	4,177
	<hr/>
Total direct costs	24,224
	<hr/>
Total indirect costs - Overhead	2,475
	<hr/>
Total costs	26,699
-	<hr/>

Implementation of the project: From January 2014 until April 2018.

Project General Objective: The aim of this research is to carry out plans to develop and evaluate a program of capacity strengthening (PFC) to prevent STI/HIV among male sex workers and trans (TSMT) in Lima.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 48

Expenses statement

Translational research development for endemic infectious diseases of Peruvian Amazon

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: DRA. Gamboa, Dionicia

	Implementation of the project (*) US\$
Direct costs	
Training	15,510
Benefits to employees	3,215
Laboratory and patient care services	671
Other	20
	<hr/>
Total direct costs	19,416
	<hr/>
Total indirect costs - Overhead	6,901
	<hr/>
Total costs	26,317
-	<hr/>

Implementation of the project: From May 2016 until February 2017.

Project General Objective: The aim of this project is to generate an increase and sustainability of research capacity in emerging and major infectious diseases endemic in Peru, particularly in the Peruvian Amazon.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 49

Expenses statement

Drug discovery for mental disorders: Preclinical studies of Peruvian botanicals

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Vaisberg, Abraham

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	9,279
Equipment and/or supplies	5,857
Travel expenses	4,591
Training	410
Other	<u>3,626</u>
Total direct costs	<u>23,763</u>
Total indirect costs - Overhead	<u>2,160</u>
Total costs	<u>25,923</u>
-	

Implementation of the project: From January 2016 until December 2016.

Project General Objective: The aim of this research is to discover new pharmaceuticals of the Peruvian flora traditionally used for the treatment of mental disorders.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 50

Expenses statement

Macrophage polarization and Glutathione levels in the Helminth-Tb Co-Infection

Research project financed by federal funds from the United States of America, under a subcontract with Johns Hopkins University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Sheen, Patricia

	Implementation of the project (*) US\$
Direct costs	
Equipment and/or supplies	6,097
Benefits to employees	881
Laboratory and patient care services	752
Travel expenses	466
Other	<u>15,023</u>
Total direct costs	<u>23,218</u>
Total indirect costs - Overhead	<u>1,536</u>
Total costs	<u>24,754</u>

Implementation of the project: From July 2015 until June 2016.

Project General Objective: The aim of this research is to study the presence of polarization and Glutathione depletion of these macrophages and the effect on the killing of the macrophages in tuberculosis.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 51

Expenses statement

The South American program in HIV prevention research (SHAPIR) Training

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Clark, Jesse

	Implementation of the project (*) US\$
Direct costs	
Consultants	16,200
Benefits to employees	6,211
Other	<u>22</u>
Total direct costs	<u>22,433</u>
Total indirect costs - Overhead	<u>1,508</u>
Total costs	<u>23,941</u>
-	

Implementation of the project: From August 2011 until May 2016.

Project General Objective: The aim of this project is to provide researchers in the United States developing a structured program of education and training based on a research topic focused on the field of the prevention of HIV in Latin America.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 52

Expenses statement

Glocal health fellowship subcontract - Larissa Otero

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Lescano, Andres

	Implementation of the project (*) US\$
Direct costs	
Training	11,091
Benefits to employees	3,927
Equipment and/or supplies	1,637
Other	296
	<hr/>
Total direct costs	16,951
	<hr/>
Total indirect costs - Overhead	2,053
	<hr/>
Total costs	19,004
-	<hr/>

Implementation of the project: From July 2015 until May 2016.

Project General Objective: The aim of this project is to teach students to plan and carry out personally a global health research project over the course of the development of the project.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 53

Expenses statement

Characterization of hippocampal sclerosis in individuals with calcified Neurocysticercosis

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Garcia, Hector

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	12,370
Laboratory and patient care services	267
Travel expenses	24
Other	<u>2,539</u>
Total direct costs	<u>15,200</u>
Total indirect costs - Overhead	<u>2,660</u>
Total costs	<u>17,860</u>
-	

Implementation of the project: From July 2016 to June 2018.

Project General Objective: The aim of this research is to study the characterization of hippocampal sclerosis in individuals with calcific neurocysticercosis.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 54

Expenses statement

Fogarty global health fellows coordinating center

Research project financed by federal funds from the United States of America, under a subcontract with University of North Carolina At Chapel Hill.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Zimic, Mirko

	Implementation of the project (*) US\$
Direct costs	
Travel expenses	6,828
Benefits to employees	6,351
Equipment and/or supplies	1,143
Other	1,516
	<hr/>
Total direct costs	15,839
	<hr/>
Total indirect costs - Overhead	2,000
	<hr/>
Total costs	17,839
-	<hr/>

Implementation of the project: From August 2014 until July 2016.

Project General Objective: This project aims to build capacity for research in low-income countries and in particular to develop the next generation of clinical researchers, strengthen the capacity of international health research and encourage the global health collaboration.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 55

Expenses statement

Alternative venue for HIV testing with MSM and TW in Lima, Peru

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Konda, Kelika

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	4,497
Laboratory and patient care services	3,831
Equipment and/or supplies	2,337
Travel expenses	1,881
Consultants	1,143
Other	<u>1,845</u>
Total direct costs	<u>15,534</u>
Total indirect costs - Overhead	<u>1,634</u>
Total costs	<u>17,168</u>
-	

Implementation of the project: From March 2015 until February 2017.

Project General Objective: The aim of this research is to evaluate the need for interventions that improve retention in care of PLWHA in HNCH.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 56

Expenses statement

Chaka: Strengthening research support structures in the Andean Region

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Chang, Michelle

	Implementation of the project (*) US\$
Direct costs	
Training	6,000
Travel expenses	4,233
Other	<u>1,218</u>
Total direct costs	<u>11,451</u>
Total indirect costs - Overhead	<u>1,900</u>
Total costs	<u>13,351</u>
-	

Implementation of the project: From May 2016 until April 2021.

Project General Objective: The aim of this project is the strengthening of structures of support for research in the Andean Region, developing a generation of managers of research in Peru and the region, which will help to develop an environment in systems for health research.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 57

Expenses statement

Improving participation in vector control campaigns through behavioral economics

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, Los Angeles.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Konda, Kelika

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	8,738
Equipment and/or supplies	2,287
Travel expenses	410
Laboratory and patient care services	198
Other	403
	<hr/>
Total direct costs	12,035
	<hr/>
Total indirect costs - Overhead	803
	<hr/>
Total costs	12,838
	<hr/>

Implementation of the project: From January 2015 until June 2017.

Project General Objective: The aim of this research is carrying out fieldwork randomized with three interventions to increase participation in campaigns of control of vectors that carry out the Ministry of Health (MINSa) in Arequipa, Peru.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 58

Expenses statement

Core Training - ICEMR

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gamboa, Dionicia

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	7,308
Travel expenses	2,628
Training	535
Equipment and/or supplies	3
Other	<u>308</u>
Total direct costs	<u>10,782</u>
Total indirect costs - Overhead	<u>1,310</u>
Total costs	<u><u>12,092</u></u>

Implementation of the project: From January 2016 until June 2017.

Project General Objective: The aim of this project is to provide the infrastructure to ensure the scientific success of the 5 scientific projects integrated with the data management and shared nuclei of laboratory resources.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 59

Expenses statement

Exploring psychosocial determinants of the low perception of Peruvian women

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Blas, Magaly

	Implementation of the project (*) US\$
Direct costs	
Consultants	4,511
Laboratory and patient care services	1,220
Travel expenses	744
Other	230
	<hr/>
Total direct costs	6,705
	<hr/>
Total indirect costs - Overhead	-
	<hr/>
Total costs	6,705
	<hr/>

Implementation of the project: From March 2015 until April 2017.

General project Objective: The aim of this research is to explore the psychosocial and cultural to contributing to the participation of Peruvian women in the prevention and management of cancer services.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 60

Expenses statement

Addressing the global burden of Leptospirosis in two endemic countries

Research project financed by federal funds from the United States of America, under a subcontract with the University of California, San Diego.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Torres, Katherine

	Implementation of the project (*) US\$
Direct costs	
Other	30
	<hr/>
Total direct costs	30
	<hr/>
Total indirect costs - Overhead	4,513
	<hr/>
Total costs	4,543
	<hr/>

Implementation of the project: From September 2015 until February 2017.

Project General Objective: The objective of this research is to develop and validate new tools and approaches to reduce the impact of leptospirosis in human health. In this phase aims to: i) collect serum and urine of patients diagnosed with leptospirosis in contrasting contexts to determine the importance of the geographical variability of the diversity of leptospires in the Peru; (ii) identify the dominant regional classes of greatest medical importance that infect humans and explore the members of the family of genes for virulence of infecting strains as the potential of new molecular diagnostic methodologies; and (iii) develop new diagnostic tests for detection of antibodies to leptospirosis.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 61

Expenses statement

Pilot study on the prevalence of colonizing bacteria resist

Research project financed by federal funds from the United States of America, under a subcontract with Vanderbilt University.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Ochoa, Theresa

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	1,166
Equipment and/or supplies	384
Other	20
	<hr/>
Total direct costs	1,570
	<hr/>
Total indirect costs - Overhead	306
	<hr/>
Total costs	1,877
-	<hr/>

Implementation of the project: From October 2016 until October 2017.

Project General Objective: The objective of this study is to confirm the high prevalence of antibiotic resistance in pneumococci recovered from sample nasofringeas of animals that live in the House.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 62

Expenses statement

Young-onset dementia in Colombia - Administrative supplement NIH

Research project financed by federal funds from the United States of America, under a subcontract with the University of Pennsylvania.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gallo, Carla

	Implementation of the project (*) US\$
Direct costs	
Equipment and/or supplies	954
Travel expenses	35
	<hr/>
Total direct costs	989
	<hr/>
Total indirect costs - Overhead	680
	<hr/>
Total costs	1,669
-	<hr/>

Implementation of the project: From September 2015 to April 2016.

Project General Objective: The aim of this research is to develop and implement standardized clinical and cognitive instruments which can be used in multicultural studies of early-onset dementia.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 63

Expenses statement

Paracas Award: Need for Improvements in Retention in PLHIV Care at HNCH

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Gonzales, Elsa

	Implementation of the project (*) US\$
Direct costs	
Benefits to employees	887
Travel expenses	68
Equipment and/or supplies	38
Other	499
	<hr/>
Total direct costs	1,491
	<hr/>
Total indirect costs - Overhead	-
	<hr/>
Total costs	1,491
-	<hr/>

Implementation of the project: From September 2015 to May 2018.

Project General Objective: The aim of this research is to evaluate the need for interventions that improve retention in care of PLWHA in HNCH, identifying and exploring the association between social factors and retention in HNCH PLWHA care through the use of mixed methods in successive phases.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Universidad Peruana Cayetano Heredia

Project 64

Expenses statement

Mortality Associated with Time of Onset of Highly Active Antiretroviral Therapy (HAART) During the Course of Treatment for Tuberculosis in a Cohort of Patients with HIV Infection in Peru

Research project financed by federal funds from the United States of America, under direct contract with National Institute of Health - NIH.

For the period from January 1, 2016 to December 31, 2016.

Researcher: Dr. Mejia, Fernando

	Implementation of the project (*) US \$
Direct costs	
Benefits to employees	1,109
	<hr/>
Total direct costs	1,109
	<hr/>
Total indirect costs - Overhead	-
	<hr/>
Total costs	1,109
	<hr/> <hr/>

Implementation of the project: From November 2013 to May 2018.

Project General Objective: The aim of this research is to evaluate the effect of start time TARGA in the course of the TB treatment on mortality in patients with HIV and TB belonging to the strategy of prevention and control of STI/HIV in a Center Hospital of Peru in the period 2008-2015.

(*) It covers the period of our review, from January 1, 2016 to December 31, 2016.

Report of the independent auditors on internal control

To the members of the Council University of Universidad Peruana Cayetano Heredia

As part of the audit process of the consolidated expenses statement of sixty- four Research Projects of Universidad Peruana Cayetano Heredia which are financed by federal funds from the United States of America, through direct contracts with National Institute of Health (NIH) and indirectly with the NIH through universities of the United States of America for the period from January 1 to December 31, 2016, we have evaluated the internal control system, with the solely purpose to determine the nature, opportunity and extension of our audit procedures in order to express an audit opinion on consolidated expenses statement of sixty-four Research Projects of Universidad Peruana Cayetano Heredia with the rules of audit Government generally accepted of the United States of America, the supplement of compliance the Office of administration and compliance (OMB - Office of Management and Budget) of the United States of America - Circular A-133 and the International Standards on Auditing (ISA).

As per your knowledge, an entity accounting internal control system has the purpose of safeguard the assets, ensure the transactions are recorded properly and the expenses statements are prepared in accordance with the rules of audit Government generally accepted of the United States of America, the supplement of compliance the Office of administration and compliance (OMB - Office of Management and Budget) of the United States of America - Circular A-133 and the International Standards on Auditing (ISA). Establishing and maintaining an internal control system is a Management responsibility, who should continuously supervise it in order to conclude that the internal control system function as it was designed, modifying it if it is necessary in accordance with the circumstances, and evaluating the cost and benefits of implementing the control procedures. It is also a Management responsibility maintaining the internal control system needed to ensure the compliance of the University's procedures.

In that sense, we have to address that the internal control system has limitations. There is a possibility that applying the internal control procedures could arise mistakes and errors due to lack of instructions comprehension, judgment errors, lack of personnel attention, human errors, among others. Furthermore, the procedures which effective operation is based on functions segregation could be elude as consequence of employees collusion. Similarly, the procedures which are design to ensure that transactions are performed in accordance with Management authorization would be ineffective if the decisions are erroneous or irregular. Thus, we cannot ensure all processing errors and irregularities, system deficiencies and not compliance with legal norms has come to our attention in the audit process, thus we do not express an opinion on administrative procedures, on accounting internal control system, and on compliance of legal norms established by Management, and if they have been applied consistently and correctly during the period under revision.



Report of the independent auditors on internal control (continued)

As result of our review, we have detected certain issues, which are presented in the following pages, in order to help the University in the improvement of the procedures and controls. The issues do not necessarily include all the internal control system debilities could have, because, as it was explained in the preceding paragraphs, our evaluation did not have the purpose to express an opinion on such system taken as a whole.

This report is intended for the exclusive use of the University and National Institute of Health (NIH) and must not be distributed or used by third parties without the authorization of such entities.

Lima, Peru
September 29, 2017

Countersigned by:

A handwritten signature in black ink, appearing to be 'TA', written over a horizontal line.

Tania Arana
C.P.C.C. Registration No. 28060

Paredes, Burga & Asociados

Universidad Peruana Cayetano Heredia

Memorandum of recommendations on issues of internal accounting control and others

Content	Page
I. Accounting and internal control matters	1
1. Reconciliation between the University accounting information and operating details from managers and/or principal investigators of research projects	1
2. Use of cash among research projects	Error! Bookmark not defined.
3. Cost of staff by research project	2
II. Follow-up to recommendations of previous years	3

Universidad Peruana Cayetano Heredia

Memorandum of recommendations on issues of internal accounting control and others

Accounting and internal control matters

I. Accounting and internal control matters

1. Reconciliation between the University accounting information and operating details from managers and/or principal investigators of research projects

Description -

We have observed some differences between the accounting information of the University and operating details from managers and/or principal investigators of the Research Projects, such as the following:

Name of the Project	Total Expense according to accounting department	Total Expense according to managers and/or principal investigators	Differences
	US\$	US\$	US\$
Planning a skill - Building program to prevent HIV in male and transgender sex workers in Peru	36,699	26,699	(10,000)
Neufin	60,135	57,449	2,686
Young Onset Dementia In Colombia - Administrative Supplement NIH	2,197	1,669	528

Due to these differences identified in our review, the General Direction of Management analyzed and corrected each of these differences in order to correctly present the expense statements of the research projects for the period from January 1 to December 31, 2016.

Recommendation -

We suggest to the General Direction of Management, monthly carry out a reconciliation of the information between the University accounting and the operating details maintained by managers and/or principal investigators of the research projects, in order to detect the generated differences and correct them in a timely manner. Also, establish controls that enable the validation of the fulfillment of this policy.

This procedure can be performed with the help of the application P-Projects, which handles the financial information of the research projects.

Memorandum of recommendations on matters of internal accounting control and other (continued)

Management Comments-

At the end of the year 2016, an important methodological change was made in the information provided by the P-Proyectos software, in order to minimize the differences found. The analysis of the information is made, from then on, from the same accounting base. The effects of these changes materialize in the year 2017, consequently, the accounting information is being duly reconciled.

2. Use of cash in research projects

Description -

During our review as of December 31, 2016, we identified that the research projects in some cases, such as "Launching a salt substitute to reduce blood pressure in the population", "Tuberculosis trials consortium", "Improving participation in vector control" campaigns through behavioral economics", among others, carry out acquisitions of goods and/or services with funding from the University. Usually this is generated because on the date they need the funds to make such an acquisition, the research project does not have temporally the funds necessary to face them, so in order to give continuity to the field work and not jeopardize its compliance, management carry out acquisitions with University funds, as long as they have the corresponding authorizations. This creates the risk that refunds of funds used in other projects will not be made to the University and that eventually will occur a deviation in the execution of the budgets assigned to the projects.

Recommendation -

We suggest to the General Direction of Management, avoid the authorizations of internal transfers when it comes to these cases. In compliance, managers and/or principal investigators of research projects, and must be done expenses only in its corresponding cost center based on their budget.

Management Comments-

The necessary corrective measures have been taken in order to avoid the repetition of these situations of non-compliance with internal regulations. Exceptionally, when is duly justified, the University may temporarily finance expenses, which must then be reimbursed.

3. Cost of staff in research project

Description -

During our review of December 31, 2016, we observed the following situations:

- i. The University's payroll system is not configured to easily obtain personnel expense reports by Research Project.
- ii. The General Direction of Management does not have a time recording system for personnel assigned to each project, this may result in certain research projects assume staff costs for

Memorandum of recommendations on matters of internal accounting control and other (continued)

work not performed, as well as other research projects do not recognize staff costs for work performed.

Recommendation -

We recommend that the General Direction of Management apply the following procedures to improve its control over documentation, processing, and the payroll control:

- i. Implement monthly payroll summaries for each of the projects in a timely manner.
- ii. Design and implement time control records, which must be approved by the supervisor in charge of the project. Unauthorized time control records should not be processed by the Payroll Department until they are approved by the appropriate project member.

Management Comments-

At present, time control is carried out at the level of each research project, manually and not integrated. We are working on an institutional project of automation of time control through the implementation of software in 2018.

II. Follow-up to recommendations from previous years

Below are the recommendations resulting from previous years, and his current situation:

	Year	Current Situation
1. Supplies store	2015	In process
2. Statements of expenditure	2015	Not regulated
3. Procurement of supplies and equipment	2015	Not applicable (*)
4. Accountability policy	2015	In process
5. Accounting and/or administrative personnel in the Research Projects	2015	In process
6. Consumption of the central warehouse	2015	Regularized

(*) Each research project has its own needs, geographic location, budget, availability of funds, time and meet milestones and evolution of their experimental procedures, which hinders the realization of massive purchases.

Universidad Peruana Cayetano Heredia

Report of Independent Auditors on compliance with the terms of conditions of contracts, subcontracts, laws and regulations applicable to the research projects financed by federal funds from the United States of America on contracts and subcontracts entered into between Universidad Peruana Cayetano Heredia and National Institute of Health (NIH) and universities of the United States of America, respectively, for the period from January 1 to December 31, 2016.

Report of independent auditors on compliance with the terms of conditions of contracts, subcontracts, laws and applicable regulations

To the members of the University Council of Universidad Peruana Cayetano Heredia

1. This report presents the results of the implementation of the agreed upon procedures with you regarding the status of compliance of the terms conditions of contracts, subcontracts, laws, and regulations applicable to the research projects financed by federal funds from the United States of America for the period from January 1 to December 31, 2016. Terms of conditions of contracts, subcontracts, applicable laws, and regulations are the responsibility of the General Direction of administration of Universidad Peruana Cayetano Heredia (hereinafter "the University"). Our responsibility is to report on compliance with these terms.
2. Our work was carried out to the extent agreed upon procedures with you, where procedures are detailed in the attached compliance status.
3. Our work only consisted of the review of the compliance of the procedures defined and approved by you, and that you consider sufficient for your purposes. We do not assume any responsibility for the adequacy, for its purposes, of the agreed upon procedures with you and executed by us.
4. In this sense, we must specify that the procedures listed later do not constitute an audit or a review made in accordance with standards of auditing Government generally accepted in the United States of America, accordingly we do not express an opinion on the internal control or compliance of terms of conditions of contracts, subcontracts, laws and applicable regulation. Had we performed additional procedures or had we performed an audit or review of the compliance of terms of conditions of contracts, subcontracts, laws and applicable regulation in accordance with the rules of generally accepted government audit in the United States of America, the supplement of compliance of the Office of administration and compliance (OMB - Office of Management and Budget) of the United States of America - Circular A-133 and the International Standards on Auditing (ISAs), other matters might have come to our attention that would have been reported to you.

Report of independent auditors on compliance with the terms of conditions of contracts, subcontracts, laws and applicable regulations (continued)

5. The results of the execution of agreed upon procedures in relation to the compliance with the terms of conditions of contracts, subcontracts, laws, and regulations applicable to the research projects financed by Federal of the United States of America, for the period from January 1 to December 31, 2016 are presented in the state of compliance attached.

6. The present report is issued for the exclusive use of University and National Institute of Health (NIH), and must not be distributed or used by third parties without the authorization of such entities.

Lima, Peru
September 29, 2017

Countersigned by:



Tania Arana
C.P.C.C. Registration No. 28060

Paredes, Burga & Asociados

Universidad Peruana Cayetano Heredia

State of compliance with conditions of the terms of contracts, subcontracts, applicable laws and regulations

Period from January 1 to December 31, 2016

1. **Review of the operations of expenses of each project financed by the NIH, including budgeted amounts, the reported expenses and compliance with the procedures laid down in the contracts and subcontracts from January 1 2016 to December 31, 2016.**

Procedures performed -

- We obtained the understanding of the activities carried out by the General Direction of Management in relation to the administration of resources financed by the research projects financed by federal funds from the United States of America on contracts and subcontracts entered into between Universidad Peruana Cayetano Heredia and National Institute of Health (NIH) and universities of the United States of America, respectively. For this purpose, we consider:
 - i. Understand the organizational structure of the University and the financial internal control implemented for the administration of funds from research projects.
 - ii. Review of the terms of contracts, subcontracts, applicable laws and regulations for the administration of funds.
- We obtained the understanding of the preparation of the expenses statement of the research projects for the period from January 1 to December 31, 2016. This understanding included, among others, the following aspects:
 - i. Understanding of the policies, procedures and accounting practices used for the preparation of the expenses statements cited.
 - ii. Review of remittances sent by entities funding University.
- We obtained the understanding of internal controls applied by the General Direction of Management, in relation to the management of projects, procedures for the registration of operations, supporting documentation, and other established control mechanisms for the management of resources.
- We verified the documentation that demonstrates compliance with the clauses in the contracts and subcontracts, during the period under review.
- We made a review of the expenses incurred based on a random sample, to determine whether the documentation is adequate and reasonable.

Results of the performed procedures-

State of compliance with conditions of the terms of contracts, subcontracts, applicable laws and regulations (continue)

Based on the selected sample, we have verified that the registered expenses have supporting documentation, and the expenditures reported, comply with the terms and conditions established by the funders and are based on budgets delivered by funders.

2. Verified if the expenses incurred by the research projects are adequately justified, with the original documentation that supports them.

Performed procedures -

- We made a review of expenses incurred based on a random sample, to verify whether the expenses incurred are supported by the corresponding documentation.

Results of the performed procedures -

Based on the selected sample we have verified that reviewed expenses have the original documentation that supports them; except the case of some expenses that are supported by supplementary documentation, for example, affidavits, mobility, among other forms.

3. Verified that the income received was used to meet the established objectives.

Performed procedures -

- We obtained the understanding of the objectives of the research projects financed by federal funds from the United States of America, through contracts and subcontracts entered into between Universidad Peruana Cayetano Heredia and National Institute of Health (NIH) and universities of the United States of America.
- We made a review of acquisitions of goods and services carried out based on a random sample, to determine whether they contribute to fulfilling the goals settled by each research project.

Results of the performed procedures -

Based on the selected sample, we have verified that the expenses reviewed were related to the fulfillment of the goals set by the research projects.

4. Verified that in the acquisition process were used solid business practices, quotations, were obtained reasonably prices and were settled adequate controls on the qualities and quantities received.

Performed procedures -

- We obtained the understanding of the process of acquisition of goods and services carried out by the research projects.
- We identified the internal controls applied by the University, in relation to the acquisition of goods and services process carried out by the research projects. As part of this process we identified that the University has three modes of acquisition of goods and services: (i) acquisition by competition, which requires a minimum amount of contributions according to a certain scale of prices, (ii) direct negotiation, for goods and services or goods that do not support substitutes and (iii) direct

State of compliance with conditions of the terms of contracts, subcontracts, applicable laws and regulations (continue)

purchase, when there are predetermined prices or if there is no alternative to direct negotiation. In addition to this, we verify that the time of receipt of the goods, the warehouse staff noted that the goods received correspond to a state in the purchase order, which in turn compared to the invoice and corresponding reference guide; in the case of services, the user of the service gives the same compliance.

- We made a review of acquisitions of goods and services based on a random sample, to determine if solid business practices were used in them, quotations, they were obtained reasonable prices and were settled adequate controls on the qualities and quantities received.

Results of the performed procedures -

Based on the selected sample, we verified that the acquisition of goods and services were performed by solid business practices, quotations (in case not be an acquisition by competition) and were obtained reasonable prices, additional to that we verify they had appropriate controls on the qualities and quantities received.

- 5. In relation to the payroll costs of staff, review: i) if pay rates are a reasonable charge for contracted staff ii) if overtime were imputed to the program and if it was permissible under the terms of the agreements. III) if subsidies and extra benefits received by employees were in accordance with the agreements and the laws and regulations.**

Performed procedures -

- We made a review of the monthly expenses of the workers of the research projects based on a random sample, for which we review the payslips and we made a recalculation of the benefits according to the legislation in force in the country.
- We made a review of the types of contracts held with the staff of the research projects, in order to determine that they comply with the legislation in force according to the type of work performed.

Results of the performed procedures -

Based on the selected sample, we did not detect significant mistakes in the recalculations of benefits of selected workers, on the other hand, there were no substantial problems in the form of contracts for workers of the projects; except in the case of some contracts under the form of receipts for fees, on which it was recommended to review the contracts in order to avoid labor contingencies with the Labor Authority.

State of compliance with conditions of the terms of contracts, subcontracts, applicable laws and regulations (continue)

6. Travel and transportation expenses have the proper supporting documentation and were properly approved.

Performed procedures-

- We obtained the understanding of the process of approval of expenses for travel and transportation for research projects.
- We made a review of travel and transportation expenses based on a random sample, to determine if they have proper support documentation and if they were duly approved.

Results of the performed procedures -

Based on the selected sample, we verified that the expenses for travel and transportation reviewed had adequate support documentation; however, in the case of projects which require transport in areas of difficult access, it is unusual to find companies that provide formal documentation, so these costs are justified by affidavits or forms of mobility. On the other hand, such expenses had all the approvals required before being executed.

7. Basic products (for example, supplies, materials, vehicles, equipment, foodstuffs, tools, etc.) there are or were used for the purposes specified under the terms of the agreements and whether there are control procedures and have been put into operation to properly safeguard products.

Performed procedures -

- We obtained the understanding of the process of approval of the acquisition of basic products.
- We made a review of purchases of basic products based on a random sample, to determine if exists or were used for the purposes specified under the terms of the agreements.
- We made a review of purchases of basic products based on a random sample, to determine if there are control procedures and have been put into operation to properly safeguard products.
- Physical inspection of fixed assets.

Results of the performed procedures -

Based on the selected sample, we verified the purchases of basic products had the documentary support that ensured their existence. Most purchases of them are consumed immediately. During our review, we have identified 25 research projects under the management of Ana Rosa Contreras that have an inventory stock that as of December 31, 2016, was stored in a leased space without appropriate storage conditions, since they are office facilities. At the date of our review, we have observed that the University has implemented a warehouse that has the necessary conditions for safeguarding inventories. To date, it has been carried out the partial transfer of these inventories, pending completion of the transfer of the remaining balance of materials.

State of compliance with conditions of the terms of contracts, subcontracts, applicable laws and regulations (continue)

8. Evaluate the outstanding advances to be granted at the University and reimbursements pending to be made at the National Institute of Health (NIH).

Performed procedures-

- We made a review of outstanding advances to be granted based on a random sample.
- We made a review of deliveries to render based on a random sample.
- We made a comparison of the amount assigned to each project versus the amounts disbursed.

Results of the performed procedures -

Based on the selected sample, we verified that the acquisition of goods and services performed, either with money previously delivered or pending of reimbursement by the National Institute of Health (NIH), had all relevant approvals according to the scale of prices determined by the General Direction of Management. Should be noted that in the case of pending refund purchases, they were additionally approved by the General Director of management.

9. Check that in closed projects have been returned the excess cash to the NIH. Also, verify that the assets (inventories, fixed assets, raw materials, etc.) obtained with funds from the program have been disposed in accordance with the terms of the agreements.

Performed procedures-

- We required the list of closed projects during the period 2016.
- We reviewed the contracts, subcontracts, and addenda to determine the closing date of each of the research projects.
- We made a review of research projects closed during the period 2016 based on the selected sample, in order to verify that the corresponding closing reports were made.
- Based on the selected sample, we made a review of assets in order to verify that they have been disposed in accordance with the terms of the agreements.

Results of the performed procedures -

- Based on the list of projects closed during 2016, we verified that the registered closing date of the projects corresponds to the date established in the contracts.
- Based on the selected sample of the projects closed during 2016, we verified that the corresponding closing reports have been made.
- Based on the selected sample of the projects closed during 2016, we verified that the purchased assets were disposed of in according to the terms of the agreements.

Acerca de EY

EY es la firma líder en servicios de auditoría, consultoría, impuestos, transacciones y finanzas corporativas. La calidad de servicio y conocimientos que aportamos ayudan a brindar confianza en los mercados de capitales y en las economías del mundo. Desarrollamos líderes excepcionales que trabajan en equipo para cumplir nuestro compromiso con nuestros stakeholders. Así, jugamos un rol fundamental en la construcción de un mundo mejor para nuestra gente, nuestros clientes y nuestras comunidades.

Para más información visite ey.com/pe

©EY
All Rights Reserved.