

File No. 230931

Committee Item No. 1

Board Item No. \_\_\_\_\_

## COMMITTEE/BOARD OF SUPERVISORS

### AGENDA PACKET CONTENTS LIST

Committee: Budget and Finance Committee Date September 27, 2023

Board of Supervisors Meeting Date \_\_\_\_\_

#### Cmte Board

- Motion
- Resolution
- Ordinance
- Legislative Digest
- Budget and Legislative Analyst Report
- Youth Commission Report
- Introduction Form
- Department/Agency Cover Letter and/or Report
- MOU
- Grant Information Form
- Grant Budget (Clinical Trials Network, All Years, Justification)
- Subcontract Budget
- Contract/Agreement
- Form 126 – Ethics Commission
- Award Letter
- Application
- Public Correspondence

#### OTHER (Use back side if additional space is needed)

- Executed Subaward Agreement 9/10/2020
- Amendment No. 1 3/3/2021
- Amendment No. 9 9/7/2022
- Amendment No. 1 4/3/2023
- DPH Letter 9/7/2023
- \_\_\_\_\_
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- \_\_\_\_\_
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Completed by: Brent Jalipa Date September 21, 2023

Completed by: Brent Jalipa Date \_\_\_\_\_

1 [Accept and Expend Grant - Retroactive - National Institutes of Health - Oregon Health &  
2 Science University - Western States Node of the National Drug Abuse Treatment Clinical  
3 Trials Network - \$109,937]

4 **Resolution retroactively authorizing the Department of Public Health to accept and**  
5 **expend a grant increase from the National Institutes of Health through Oregon Health &**  
6 **Science University for participation in a program, entitled “Western States Node of the**  
7 **National Drug Abuse Treatment Clinical Trials Network,” in the amount of \$28,327 for**  
8 **the period of March 1, 2023, through February 29, 2024, for a total grant award amount**  
9 **of \$109,937 for the total period of June 1, 2020, through February 29, 2024.**

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11 WHEREAS, The National Institutes of Health (NIH), through Oregon Health & Science  
12 University (OHSU) as a pass-through entity, has agreed to fund the Department of Public  
13 Health (DPH) in the amount of \$109,937 for participation in a program, entitled “Western  
14 States Node of the National Drug Abuse Treatment Clinical Trials Network,” for the period of  
15 June 1, 2020, through February 29, 2024; and

16 WHEREAS, The subrecipient Principal Investigator will work with Principal  
17 Investigators to ensure the success of the next iteration of the Western State Nodes; and

18 WHEREAS, The subrecipient Principal Investigator will complete all required forms,  
19 participate in regular calls, and assist with the development of Clinical Trials Network (CTN)  
20 concepts and protocols; and

21 WHEREAS, The grant does not require an Annual Salary Ordinance Amendment; and

22 WHEREAS, A grant increase of \$28,327 was approved for the period of March 1, 2023,  
23 through February 29, 2024; and

24 WHEREAS, A request for retroactive approval is being sought because DPH received  
25 the grant increase on April 3, 2023, for a project start date of March 1, 2023; and

1           WHEREAS, The grant budget includes a provision for indirect costs in the amount of  
2 \$8,720; now, therefore, be it

3           RESOLVED, That DPH is hereby authorized to retroactively accept and expend a grant  
4 in the amount of \$109,937 from the NIH through OHSU; and, be it

5           FURTHER RESOLVED, That DPH is hereby authorized to retroactively accept and  
6 expend the grant funds pursuant to Administrative Code, Section 10.170-1; and, be it

7           FURTHER RESOLVED, That the Director of Health is authorized to enter into the  
8 Agreement on behalf of the City.

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1 Recommended:  
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3 \_\_\_\_\_ /s/ \_\_\_\_\_

Approved: \_\_\_\_\_ /s/ \_\_\_\_\_  
Mayor

4 Dr. Grant Colfax  
5 Director of Health

Approved: \_\_\_\_\_ /s/ \_\_\_\_\_  
Controller

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**File Number:** 230931  
(Provided by Clerk of Board of Supervisors)

**Grant Resolution Information Form**  
(Effective July 2011)

Purpose: Accompanies proposed Board of Supervisors resolutions authorizing a Department to accept and expend grant funds.

The following describes the grant referred to in the accompanying resolution:

1. Grant Title: **Western States Node of the National Drug Abuse Treatment Clinical Trials Network**

2. Department: **Department of Public Health  
Center for Public Health Research (CHPR)**

3. Contact Person: **Philip Coffin** Telephone: **415-437-6282**

4. Grant Approval Status (check one):

Approved by funding agency                       Not yet approved

5. Amount of Grant Funding Approved or Applied for: **\$109,937**  
**(Year 1 June 01, 2020 – February 28, 2021: \$28,938**  
**Year 2 March 01, 2021 – February 28, 2022: \$26,262**  
**Year 3 March 01, 2022 – February 28, 2023: \$26,410**  
**Year 4 March 01, 2023 – February 29, 2024: \$28,327)**

6a. Matching Funds Required: **\$0**  
b. Source(s) of matching funds (if applicable): **N.A.**

7a. Grant Source Agency: **National Institutes of Health (NIH)**  
b. Grant Pass-Through Agency (if applicable): **Oregon Health & Science University**

8. Proposed Grant Project Summary:  
**Dr. Coffin will work with the Principal Investigators to ensure the success of the next iteration of the Western States Node. Dr. Coffin will complete all required forms, participate in regular calls, assist with the development of Clinical Trials Network (CTN) concepts and protocols, and be prepared to act as a site in future CTN protocols.**

9. Grant Project Schedule, as allowed in approval documents, or as proposed:

Approved Year one project:	Start-Date: <b>06/01/2020</b>	End-Date: <b>02/28/2021</b>
Approved Year two project:	Start-Date: <b>03/01/2021</b>	End-Date: <b>02/28/2022</b>
Approved Year three project:	Start-Date: <b>03/01/2022</b>	End-Date: <b>02/28/2023</b>
Approved Year four project:	Start-Date: <b>03/01/2023</b>	End-Date: <b>02/29/2024</b>

10a. Amount budgeted for contractual services: **\$44,048**

b. Will contractual services be put out to bid? **No.**

c. If so, will contract services help to further the goals of the Department's Local Business Enterprise (LBE) requirements? **N/A**

d. Is this likely to be a one-time or ongoing request for contracting out? **One time**

11a. Does the budget include indirect costs?  Yes  No

b1. If yes, how much? **\$8,720** b2. How was the amount calculated? **15.74% of Total Personnel Cost**

c1. If no, why are indirect costs not included? **N.A.**

- Not allowed by granting agency
- To maximize use of grant funds on direct services
- Other (please explain):

c2. If no indirect costs are included, what would have been the indirect costs? **N/A.**

12. Any other significant grant requirements or comments:

**We respectfully request for approval to accept and expend these funds retroactive to March 1, 2023. The Department received the grant increase of \$28,327 on April 3, 2023, for the period of March 1, 2023, to February 28, 2024. The AL # for this grant is 93.279.**

**This grant does not require an ASO amendment and partially reimburses the Department for one position:**

No.	Class	Job Title	FTE	Start Date	End Date
1	2232	Senior Physician Specialist	0.05	03/01/2023	02/29/2024

**Project Description: HD HIV PD139 2324 Western Stat**  
**Project ID: 10038085**  
**Proposal ID: CTR00002599**  
**Fund: 11580**  
**Version ID: V101**  
**Authority ID: 10001**  
**Activity ID: 001**

**\*\*Disability Access Checklist\*\*\*(Department must forward a copy of all completed Grant Information Forms to the Mayor’s Office of Disability)**

13. This Grant is intended for activities at (check all that apply):

- |  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Existing Site(s) | <input type="checkbox"/> Existing Structure(s)      | <input type="checkbox"/> Existing Program(s) or Service(s) |
| <input type="checkbox"/> Rehabilitated Site(s)       | <input type="checkbox"/> Rehabilitated Structure(s) | <input type="checkbox"/> New Program(s) or Service(s)      |
| <input type="checkbox"/> New Site(s)                 | <input type="checkbox"/> New Structure(s)           |  |

14. The Departmental ADA Coordinator or the Mayor’s Office on Disability have reviewed the proposal and concluded that the project as proposed will be in compliance with the Americans with Disabilities Act and all other Federal, State and local disability rights laws and regulations and will allow the full inclusion of persons with disabilities. These requirements include, but are not limited to:

1. Having staff trained in how to provide reasonable modifications in policies, practices and procedures;
2. Having auxiliary aids and services available in a timely manner in order to ensure communication access;
3. Ensuring that any service areas and related facilities open to the public are architecturally accessible and have been inspected and approved by the DPW Access Compliance Officer or the Mayor’s Office on Disability Compliance Officers.

If such access would be technically infeasible, this is described in the comments section below:

Comments:

Departmental ADA Coordinator or Mayor’s Office of Disability Reviewer:

Toni Rucker, PhD

(Name)

DPH ADA Coordinator

(Title)

Date Reviewed: 6/21/2023 | 2:09 PM PDT

DocuSigned by:  
  
A04292F7331F44D...  
 (Signature Required)

**Department Head or Designee Approval of Grant Information Form:**

Dr. Grant Colfax

(Name)

Director of Health

(Title)

Date Reviewed: 6/27/2023 | 11:40 AM PDT

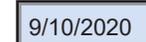
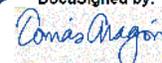
DocuSigned by:  
  
28527524752949F...  
 Greg Wagner, COO for

## FDP Cost Reimbursement Research Subaward Agreement

<b>Federal Awarding Agency:</b> National Institutes of Health (NIH)	
<b>Pass-Through Entity (PTE):</b> <b>Oregon Health &amp; Science University</b>	<b>Subrecipient:</b> City & County of San Francisco, Department of Public Health
PTE PI: Philip Todd Korthuis	Sub PI: Phillip Coffin
PTE Federal Award No: 2UG1DA015815-19	Subaward No: 1017225_SFDPH
Project Title: Western States Node of the National Drug Abuse Treatment Clinical Trials Network	
Subaward Period of Performance (Budget Period): Start: 06/01/2020 End: 02/28/2021	Amount Funded This Action (USD): \$ 28,938.00
Estimated Project Period (if incrementally funded): Start: 06/01/2020 End: 02/28/2025	Incrementally Estimated Total (USD): \$ 139,187.00

### Terms and Conditions

1. PTE hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The Statement of Work and budget for this Subaward are as shown in Attachment 5. In its performance of Subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.
2. Subrecipient shall submit invoices not more often than monthly and not less frequently than quarterly for allowable costs incurred. Upon the receipt of proper invoices, the PTE agrees to process payments in accordance with this Subaward and 2 CFR 200.305. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), Subaward number, and certification, as required in 2 CFR 200.415 (a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments shall be directed to the party's Financial Contact, shown in Attachment 3A.
3. A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to PTE's Financial Contact, as shown in Attachment 3A, not later than 60 days after the Budget Period end date. The final statement of costs shall constitute Subrecipient's final financial report.
4. All payments shall be considered provisional and are subject to adjustment within the total estimated cost in the event such adjustment is necessary as a result of an adverse audit finding against the Subrecipient.
5. Matters concerning the technical performance of this Subaward shall be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown in Attachment 4.
6. Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this Subaward, and any changes requiring prior approval, shall be directed to each party's Administrative Contact, as shown in Attachments 3A and 3B. Any such change made to this Subaward requires the written approval of each party's Authorized Official, as shown in Attachments 3A and 3B.
7. The PTE may issue non-substantive changes to the Period of Performance and budget Unilaterally. Unilateral modification shall be considered valid 14 days after receipt unless otherwise indicated by Subrecipient when sent to Subrecipient's Administrative Contact, as shown in Attachment 3B.
8. Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.
9. Either party may terminate this Subaward with 30 days written notice to the appropriate party's Administrative Contact, as shown in Attachments 3A and 3B. PTE shall pay Subrecipient for termination costs as allowable under Uniform Guidance, 2 CFR 200, or 45 CFR Part 75 Appendix IX, as applicable.
10. By signing this Subaward, including the attachments hereto which are hereby incorporated by reference, Subrecipient certifies that it will perform the Statement of Work in accordance with the terms and conditions of this Subaward and the applicable terms of the Federal Award, including the appropriate Research Terms and Conditions ("RTCs") of the Federal Awarding Agency, as referenced in Attachment 2. The parties further agree that they intend this Subaward to comply with all applicable laws, regulations and requirements.

By an Authorized Official of Pass-through Entity:		DocuSigned by: Official of Subrecipient:	
			
Name: Elizabeth Williams, M.S.	Date	Name: Tomas Aragon	Date
Title: Award Operations Manager		Title: Director of PHD	

**Attachment 1**  
**Certifications and Assurances**

Subaward Number:

1017225\_SFDPH

**Certification Regarding Lobbying (2 CFR 200.450)**

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief, that no Federal appropriated funds have been paid or will be paid, by or on behalf of the Subrecipient, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement in accordance with 2 CFR 200.450.

If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or intending to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the Subrecipient shall complete and submit Standard Form -LLL, "Disclosure Form to Report Lobbying," to the PTE.

This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by 31 U.S.C. 1352. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

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**Debarment, Suspension, and Other Responsibility Matters (2 CFR 200.213 and 2 CFR 180)**

By signing this Subaward, the Subrecipient Authorized Official certifies, to the best of his/her knowledge and belief that neither the Subrecipient nor its principals are presently debarred, suspended, proposed for debarment, declared ineligible or voluntarily excluded from participation in this transaction by any federal department or agency, in accordance with 2 CFR 200.213 and 2 CFR 180.

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**Audit and Access to Records**

Per 2 CFR 200.501- 200.521, Subrecipient certifies that it will provide notice of any adverse findings which impact this Subaward and will provide access to records as required by parts 2 CFR 200.336, 200.337, and 200.201 as applicable. If Subrecipient is not subject to the Single Audit Act, then Subrecipient will provide notice of the completion of any required audits and provide access to such audits upon request.

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**Program for Enhancement of Contractor Employee Protections (41 U.S.C 4712)**

Subrecipient is hereby notified that they are required to: inform their employees working on any federal award that they are subject to the whistleblower rights and remedies of the pilot program; inform their employees in writing of employee whistleblower protections under 41 U.S.C §4712 in the predominant native language of the workforce; and include such requirements in any agreement made with a subcontractor or subgrantee.

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The Subrecipient shall require that the language of the certifications above in this Attachment 1 be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

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**Use of Name**

Neither party shall use the other party's name, trademarks, or other logos in any publicity, advertising, or news release without the prior written approval of an authorized representative of that party. The parties agree that each party may use factual information regarding the existence and purpose of the relationship that is the subject of this Subaward for legitimate business purposes, to satisfy any reporting and funding obligations, or as required by applicable law or regulation without written permission from the other party. In any such statement, the relationship of the parties shall be accurately and appropriately described.

## Attachment 2

### Federal Award Terms and Conditions

Subaward Number

1017225\_SFDPH

**Required Data Elements**

The data elements required by Uniform Guidance are incorporated in the attached Federal Award.

Federal Award Issue Date	FAIN	CFDA No.

CFDA Title

**This Subaward Is:**

Research & Development
  Subject to FFATA

Key Personnel Per NOA

**General Terms and Conditions**

By signing this Subaward, Subrecipient agrees to the following:

1. To abide by the conditions on activities and restrictions on expenditure of federal funds in appropriations acts that are applicable to this Subaward to the extent those restrictions are pertinent. This includes any recent legislation noted on the Federal Awarding Agency's website:  
<http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>
2. 2 CFR 200 and 45 CFR Part 75.
3. The Federal Awarding Agency's grants policy guidance, including addenda in effect as of the beginning date of the period of performance or as amended found at:  
<http://grants.nih.gov/policy/notices.htm>
4. Research Terms and Conditions, including any Federal Awarding Agency's Specific Requirements found at:  
<https://www.nsf.gov/awards/managing/rtc.jsp> except for the following :
  - a. No-cost extensions require the written approval of the PTE. Any requests for a no-cost extension shall be directed to the Principal Investigator Contact shown in Attachment 3A, not less than 30 days prior to the desired effective date of the requested change.
  - b. Any payment mechanisms and financial reporting requirements described in the applicable Federal Awarding Agency Terms and Conditions and Agency-Specific Requirements are replaced with Terms and Conditions (1) through (4) of this Subaward; and
  - c. Any prior approvals are to be sought from the PTE and not the Federal Awarding Agency.
  - d. Title to equipment as defined in 2 CFR 200.33 that is purchased or fabricated with research funds or Subrecipient cost sharing funds, as direct costs of the project or program, shall vest in the Subrecipient subject to the conditions specified in 2 CFR 200.313.
  - e. Prior approval must be sought for a change in Subrecipient PI or change in Key Personnel (defined as listed on the NOA).
5. Treatment of program income: Additive

**Multiple PIs (MPI)**

This subaward is not subject to an MPI Leadership Plan.

**Special Terms and Conditions:****Copyrights:**

Subrecipient Shall Grant to PTE an irrevocable, royalty-free, non-transferable, non-exclusive right and license to use, reproduce, make derivative works, display, and perform publicly any copyrights or copyrighted material (including any computer software and its documentation and/or databases) first developed and delivered under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

Subrecipient grants to PTE the right to use any written progress reports and deliverables created under this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its Federal Award.

**Data Rights:**

Subrecipient grants to PTE the right to use data created in the performance of this Subaward solely for the purpose of and only to the extent required to meet PTE's obligations to the Federal Government under its PTE Federal Award.

**Data Sharing and Access** (Check if applicable):

Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and access requirements as reflected in the NOA (or in the special terms below) and the Data Management/Sharing Plan submitted to the Federal Awarding Agency and attached.

**Promoting Objectivity in Research (COI):**

Subrecipient must designate herein which entity's Financial Conflicts of Interest policy (COI) will apply:

If applying its own COI policy, by execution of this Subaward, Subrecipient certifies that its policy complies with the requirements of the relevant Federal Awarding Agency as identified herein:

Subrecipient shall report any financial conflict of interest to PTE's Administrative Representative or COI contact, as designated on Attachment 3A. Any financial conflicts of interest identified shall, when applicable, subsequently be reported to Federal Awarding Agency. Such report shall be made before expenditure of funds authorized in this Subaward and within 45 days of any subsequently identified COI.

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**Work Involving Human or Vertebrate Animals** (Select Applicable Options)

No Human or Vertebrate Animals

This section left intentionally blank.

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**Human Subjects Data** (Select One)

This section left intentionally blank

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**Additional Terms**

Applicable terms and conditions of the PTE Award, Attachment 6, are hereby incorporated as a part of this Agreement.

**Attachment 3A**  
**Pass-Through Entity (PTE) Contacts**

Subaward Number:

1017225\_SFDPH

**PTE Information**

Entity Name: Oregon Health &amp; Science University

Legal Address: Office of Proposal & Award Management  
3181 SW Sam Jackson Park Road  
Mail Code: L106OPAM  
Portland, OR 97239-3098Website: <https://www.ohsu.edu/xd/research/administration/proposal-and-award-management/index.cfm>**PTE Contacts**

Central Email: spasub@ohsu.edu

Principal Investigator Name: Philip Todd Korthuis

Email: korthuis@ohsu.edu

Telephone Number: 503.494.8044

Administrative Contact Name: Jen Michaud, Subout Grants &amp; Contracts Administrator

Email: michauj@ohsu.edu

Telephone Number: 503.494.2379

COI Contact email (if different to above): integrity@ohsu.edu

Financial Contact Name: Subout Administrator

Email: spasub@ohsu.edu

Telephone Number: 503.494.7784

Email invoices?  Yes  No Invoice email (if different): spasub@ohsu.edu

Authorized Official Name: Elizabeth Williams, M.S., Award Operations Manager

Email: spasub@ohsu.edu

Telephone Number: 503.494.7784

**PI Address:**3181 SW Sam Jackson Park Road  
Portland, OR 97239-3098**Administrative Address:**Office of Proposal & Award Management  
3181 SW Sam Jackson Park Road  
Mail Code: L106OPAM  
Portland, OR 97239-3098**Invoice Address:**Office of Proposal & Award Management  
0691 SW Bancroft Street  
Mail Code: L106OPAM  
Portland, OR 97239

## Attachment 3B

### Subrecipient Contacts

Subaward Number:

1017225\_SFDPH

**Subrecipient Information for FFATA reporting**

Entity's DUNS Name: City &amp; County of San Francisco, Department of Public Health

EIN No.: 94-6000417

Institution Type: County Government

DUNS: 103717336

Currently registered in SAM.gov:  Yes  NoExempt from reporting executive compensation:  Yes  No (if no, complete 3Bpg2)

Parent DUNS: N/A

*This section for U.S. Entities:* Zip Code [Look-up](#)

Place of Performance Address

Congressional District: CA-012

Zip Code+4: 94102-6012

25 Van Ness Avenue  
San Francisco, CA 94102-6012

**Subrecipient Contacts**

Central Email:

Website:

Principal Investigator Name: Phillip Coffin

Email: phillip.coffin@sfdph.org

Telephone Number: 415.437.6282

Administrative Contact Name: Sajid Shaikh

Email: sajid.shaikh@sfdph.org

Telephone Number: 415.279.8833

Financial Contact Name: Same as Administrative Contact

Email:

Telephone Number:

Invoice/Payment Email:

Authorized Official Name: Tomas Aragon

Email: tomas.aragon@sfdph.org

Telephone Number: 415.787.2583

**Legal Address:**

101 Grove Street  
San Francisco, CA 94102-4505

**Administrative Address:**

1380 Howard Street  
San Francisco, CA 94130-2614

**Payment Address:**

Same as Administrative Address

**Attachment 3B-2**  
**Highest Compensated Officers**

Subaward Number:  
1017225\_SFDPH

**Subrecipient:**

Institution Name: City & County of San Francisco, Department of Public Health

PI Name: Phillip Coffin

**Highest Compensated Officers**

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and \$25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name:

Officer 1 Compensation:

Officer 2 Name:

Officer 2 Compensation:

Officer 3 Name:

Officer 3 Compensation:

Officer 4 Name:

Officer 4 Compensation:

Officer 5 Name:

Officer 5 Compensation:

**Attachment 4**  
**Reporting and Prior Approval Terms**

Subaward Number:

1017225\_SFDPH

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3A):

**Technical Reports:**

- Monthly technical/progress reports will be submitted to the PTE's Principal Investigator within 15 days of the end of the month.
- Quarterly technical/progress reports will be submitted within 30 days after the end of each project quarter to the PTE's Principal Investigator
- Annual technical / progress reports will be submitted within 90 days prior to the end of each budget period to the PTE's Principal Investigator . Such report shall also include a detailed budget for the next Budget Period, updated other support for key personnel, certification of appropriate education in the conduct of human subject research of any new key personnel, and annual IRB or IACUC approval, if applicable.
- A Final technical/progress report will be submitted to the PTE's Principal Investigator within 60 days of the end of the Project Period or after termination of this award, whichever comes first.
- Technical/progress reports on the project as may be required by PTE's Principal Investigator in order for the PTE to satisfy its reporting obligations to the Federal Awarding Agency.

**Prior Approvals:**

Carryover:

Carryover is restricted for this subaward by the: Federal Awarding Agency

Submit carryover requests to the Principal Investigator .

**Other Reports:**

- In accordance with 37 CFR 401.14, Subrecipient agrees to notify PTE's Principal Investigator 60 days after Subrecipient's inventor discloses invention(s) in writing to Subrecipient's personnel responsible for patent matters. The Subrecipient will submit a final invention report using Federal Awarding Agency specific forms to the PTE's Principal Investigator within 60 days of the end of the Project Period to be included as part of the PTE's final invention report to the Federal Awarding Agency.  
A negative report is required: Upon Request
- Property Inventory Report (only when required by Federal Awarding Agency), specific requirements below.

**Other Special Reporting Requirements:**

**Attachment 5**  
**Statement of Work, Cost Sharing, Indirects & Budget**

Subaward Number:  
1017225\_SFDPH

**Statement of Work**

Below  Attached,  pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a *Subrecipient Federal Award Project Description*

Subrecipient PI will:

- (1) Work with the Principal Investigators to ensure the success of the next iteration of the Western States Node;
- (2) complete all required forms;
- (3) participate in regular calls;
- (4) assist with the development of CTN concepts and protocols; and
- (5) be prepared to act as a site in future CTN protocols.

**Budget Information**

<b>Indirect Information</b> Indirect Cost Rate (IDC) Applied <input style="width: 50px;" type="text" value="10"/> % Rate Type: <input style="width: 200px;" type="text" value="de minimis rate of 10%"/>	<b>Cost Sharing</b> <input style="width: 100px;" type="text" value="No"/> If Yes, include Amount: \$ <input style="width: 80px;" type="text"/>
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**Budget Details**  Below  Attached,  pages

**Budget Totals**

Direct Costs	\$	<input style="width: 90%; border: 1px solid black;" type="text" value="26,359.00"/>
Indirect Costs	\$	<input style="width: 90%; border: 1px solid black;" type="text" value="2,580.00"/>
Total Costs	\$	<input style="width: 90%; border: 1px solid black;" type="text" value="28,938.00"/>

*All amounts are in United States Dollars*



## **Attachment 6**

### **Notice of Award (NOA) and any additional documents**

- The following pages include the NOA and if applicable any additional documentation referenced throughout this Subaward.
- Not incorporating the NOA or any additional documentation to this Subaward.



Cooperative Agreement  
Department of Health and Human Services  
National Institutes of Health

Notice of Award

Federal Award Date: 05/29/2020



NATIONAL INSTITUTE ON DRUG ABUSE

**Grant Number:** 2UG1DA015815-19  
**FAIN:** UG1DA015815

**Principal Investigator(s):**  
Keith N. Humphreys, PHD  
Philip Todd Korthuis (contact), MD

**Project Title:** Western States Node of the National Drug Abuse Treatment Clinical Trials Network

Franco, Amy A  
Grants & Contracts Admin - S  
3181 SW Sam Jackson Park Rd  
L106OPAM  
Portland, OR 972393098

**Award e-mailed to:** orserv@ohsu.edu

**Period Of Performance:**  
**Budget Period:** 06/01/2020 – 02/28/2021  
**Project Period:** 09/30/2002 – 02/28/2025

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of \$915,318 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to OREGON HEALTH & SCIENCE UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 31 USC 6305 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute On Drug Abuse of the National Institutes of Health under Award Number UG1DA015815. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please contact the individual(s) referenced in Section IV.

Sincerely yours,

Page-1

Jennifer J. Cho  
Grants Management Officer  
NATIONAL INSTITUTE ON DRUG ABUSE

Additional information follows

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**SECTION I – AWARD DATA – 2UG1DA015815-19****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$234,628
Fringe Benefits	\$81,052
Personnel Costs (Subtotal)	\$315,680
Consultant Services	\$48,000
Materials & Supplies	\$1,500
Travel	\$30,938
Other	\$15,624
Subawards/Consortium/Contractual Costs	\$252,202
Publication Costs	\$2,000

Federal Direct Costs	\$665,944
Federal F&A Costs	\$249,374
Approved Budget	\$915,318
Total Amount of Federal Funds Obligated (Federal Share)	\$915,318
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$915,318</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** \$915,318

SUMMARY TOTALS FOR ALL YEARS			
YR	THIS AWARD		CUMULATIVE TOTALS
19		\$915,318	\$915,318
20		\$755,924	\$755,924
21		\$747,413	\$747,413
22		\$744,065	\$744,065
23		\$743,195	\$743,195

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

**Fiscal Information:**

**CFDA Name:** Drug Abuse and Addiction Research Programs  
**CFDA Number:** 93.279  
**EIN:** 1931176109A1  
**Document Number:** UDA015815E  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2020

IC	CAN	2020	2021	2022	2023	2024
DA	8472653	\$915,318	\$755,924	\$747,413	\$744,065	\$743,195

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

**NIH Administrative Data:**

**PCC:** CT/RDD / **OC:** 41027 / **Released:** PFLEMING 05/21/2020  
**Award Processed:** 05/29/2020 12:29:06 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 2UG1DA015815-19**

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

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**SECTION III – TERMS AND CONDITIONS – 2UG1DA015815-19**

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

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

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

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

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

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

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) UG1DA015815. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is not subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award provides support for one or more clinical trials. By law (Title VIII, Section 801 of [Public Law 110-85](#)), the "responsible party" must register "applicable clinical trials" on the [ClinicalTrials.gov Protocol Registration System Information Website](#). NIH encourages registration of all trials whether required under the law or not. For more information, see [http://grants.nih.gov/ClinicalTrials\\_fdaaa/](http://grants.nih.gov/ClinicalTrials_fdaaa/)

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make

semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

**Treatment of Program Income:**

Additional Costs

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**SECTION IV – DA Special Terms and Conditions – 2UG1DA015815-19**

Clinical Trial Indicator: Yes

This award supports one or more NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

This award contains grant-specific restrictions. These restrictions may only be lifted by a revised Notice of Award.

**HUMAN SUBJECTS RESTRICTED- DELAYED ONSET**

RESTRICTION: The present award is being made without a currently valid certification of Institutional Review Board (IRB) approval for this project with the following restriction: Only activities that are clearly severable and independent from activities that involve human subjects may be conducted under this award until the project has received IRB approval consistent with 45 CFR Part 46 and certification of IRB approval has been submitted to and accepted by NIDA.

No funds may be drawn down from the payment system and no obligations may be made against Federal funds for research involving human subjects by the grantee or any other site engaged in such research for any period not covered by an OHRP-approved Assurance and IRB approval consistent with 45 CFR Part 46.

Failure to comply with the above requirements may result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action.

See the NIH Grants Policy Statement, section on Human Subjects Protections <http://grants.nih.gov/policy/nihgps/index.htm> for specific requirements related to the protection of human subjects, which are applicable to this term and condition of award.

**FY2020 FUNDING**

The award amount for the current year is based upon IRG/Council recommendations, cost analysis, program priorities and availability of funds.

**ADDITIONAL PROTOCOL EXPENSES INCLUDED**

This award provides additional funds in the amount of \$109,131 Total Costs to support CTN-0067. These funds are restricted for stated purpose, in request dated 4/23/2020, from Elizabeth Salvatierra/Oregon Health & Science University, and may not be used for any other purpose, without Grants Management Branch, NIDA approval.

**BUDGET PERIOD**

This award is funded at the recommended level adjusted to a **9**-month budget period.

Future year anniversary dates for this grant will be **March 1** and the Research Performance Progress Report (RPPR) is due on **January 1**.

**MULTIPLE PI**

The following principal investigators (PIs) are associated with this project:

- Philip Korthuis (Oregon Health & Science University)
- Keith Humphreys (Stanford University)

Dr. Korthuis is the contact PI for correspondence purposes. As this grant has multiple Principal Investigators (PIs), all NIH Grant policies regarding multiple PIs, including, but, not limited to all prior approval requirements, must be followed accordingly, see NIH Grants Policy Statement,

section on Multiple Program Director/Principal Investigators, found at <http://grants.nih.gov/policy/nihgps/index.htm>.

### **CTN TERMS**

This award is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the Cooperative Agreement Terms and Conditions of Award detailed in "Section VI. Award Administration Information" section of [RFA-DA-15-008, "The National Drug Abuse Treatment Clinical Trials Network \(UG1\)"](#), 07/03/2014, which are hereby incorporated by reference as special terms and conditions of this award.

The NIH Project Scientist for this Cooperative Agreement is: Landhing Moran (CTN-0067)  
Email: [lmoran@nida.nih.gov](mailto:lmoran@nida.nih.gov)  
Phone: 301-827-0642

This award is subject to the current Data Safety Monitoring Plan (DSMP) submitted and previously approved by NIDA. Any changes in the DSMP must be reviewed and approved by the Program Official. If changes are approved, the approval will be reflected on the Notice of Award. If changes are not approved, the Principal Investigator must revise the DSMP to the satisfaction of the Program Official. The Principal Investigator must provide a DSMP for any new trial that is to be conducted under this grant.

### **CONSORTIUM ACTIVITY**

This award includes funds awarded for consortium activities. Consortia are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS), Section on Consortium Agreements - <http://grants.nih.gov/policy/nihgps/index.htm>.

### **PROTECTION OF HUMAN SUBJECTS**

The grantee is reminded of the requirement for education in the protection of human research participation. This requirement can be satisfied by completing the on-line tutorial Protecting Human Research Participants (<http://phrp.nihtraining.com>). Additional details on this requirement can be found at NIH Notice [NOT-OD-08-054](#), "Guidance on NIH Office of Extramural Research (OER) on-line tutorial Protecting Human Research Participants (PHRP)."

The grantee is reminded that IRB approval(s) are required for each new protocol and performance site prior to implementation of human subjects research. No funds may be drawn down from the payment system and no obligations may be made against Federal funds for research involving human subjects at any site engaged in such research for any period not covered by an Office for Human Research Protections Assurance and an IRB approval consistent with the requirements of 45 CFR Part 46.

Failure to comply with the above requirements may result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action. See the NIH Grants Policy Statement, Section for Human Subjects under Public Policy Requirements <http://grants.nih.gov/policy/nihgps/index.htm> for specific requirements related to the protection of human subjects, which are applicable to and a term and condition of this award.

### **DATA AND SAFETY MONITORING BOARD (DSMB)**

This award is subject to the [NIDA Guidelines for Establishing and Operating a Data and Safety Monitoring Board](#)

### **DATA AND SAFETY MONITORING**

This award is subject to the Data and Safety Monitoring Plan (DSMP) submitted and approved by NIDA, via application, dated 11/11/2019. Any changes in the DSMP must be reviewed and approved by the Program Official. If changes are approved, the approval will be reflected on the Notice of Award, via revision. If changes are not approved, the Principal Investigator must revise the DSMP to the satisfaction of the Program Official. The Principal Investigator must provide a DSMP for any new trial that is to be conducted under this grant.

### **REBUDGETING**

Funding is provided at the projected total cost. Funds may be rebudgeted between direct costs and F&A costs, consistent with applicable cost principles and institutional and policy requirements for prior approval.

## NIH SALARY CAP

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. See current salary cap levels at NIH's [Salary Cap Summary](#) .

## NIDA TERMS

In conjunction with the Acknowledgment of Federal Funding Requirement (as specified in the NIH Grants Policy Statement, Appropriation Mandates- <http://grants.nih.gov/policy/nihgps/index.htm>), in order to most effectively disseminate research results, advance notice should be given to NIDA that research findings are about to be published so that we may coordinate accurate and timely release to the media. This information will be embargoed until the publication date. Any press notification should be coordinated with the NIDA Press Officer who can be reached at (301) 443-6245.

The National Institute on Drug Abuse (NIDA) encourages data harmonization to increase comparability, collaboration, and scientific yield of research on drug abuse. Towards that end, NIDA strongly encourages human-subject studies to incorporate a series of measures from the Substance Abuse and Addiction Core and Specialty collections, which are available in the PhenX Toolkit at <http://www.phenxtoolkit.org>. For more information about NIDA's data harmonization efforts, please see NOT-DA-12-008 at <http://grants.nih.gov/grants/guide/notice-files/NOT-DA-12-008.html>.

## STAFF CONTACTS

The Grants Management Specialist is responsible for the negotiation, award and administration of this project and for interpretation of Grants Administration policies and provisions. The Program Official is responsible for the scientific, programmatic and technical aspects of this project. These individuals work together in overall project administration. Prior approval requests (signed by an Authorized Organizational Representative) should be submitted in writing to the Grants Management Specialist. Requests may be made via e-mail.

**Grants Management Specialist:** Jennifer L Schermerhorn  
**Email:** schermerhornj@mail.nih.gov **Phone:** 301-827-6704

**Program Official:** Ronald Dobbins  
**Email:** rdobbins@nida.nih.gov **Phone:** 301 443-6697 **Fax:** 301-443-2317

## SPREADSHEET SUMMARY

**GRANT NUMBER:** 2UG1DA015815-19

**INSTITUTION:** OREGON HEALTH & SCIENCE UNIVERSITY

Budget	Year 19	Year 20	Year 21	Year 22	Year 23
Salaries and Wages	\$234,628	\$201,547	\$201,547	\$201,547	\$201,547
Fringe Benefits	\$81,052	\$69,140	\$69,140	\$69,140	\$69,140
Personnel Costs (Subtotal)	\$315,680	\$270,687	\$270,687	\$270,687	\$270,687
Consultant Services	\$48,000	\$36,000	\$36,000	\$36,000	\$36,000
Materials & Supplies	\$1,500				
Travel	\$30,938	\$23,964	\$26,598	\$24,424	\$23,859
Other	\$15,624				
Subawards/Consortium/Contractual Costs	\$252,202	\$245,181	\$231,074	\$231,074	\$231,074
Publication Costs	\$2,000	\$1,000	\$2,000	\$2,000	\$2,000
TOTAL FEDERAL DC	\$665,944	\$576,832	\$566,359	\$564,185	\$563,620
TOTAL FEDERAL F&A	\$249,374	\$179,092	\$181,054	\$179,880	\$179,575
TOTAL COST	\$915,318	\$755,924	\$747,413	\$744,065	\$743,195

Facilities and Administrative Costs	Year 19	Year 20	Year 21	Year 22	Year 23
F&A Cost Rate 1	54%	54%	54%	54%	54%
F&A Cost Base 1	\$423,725	\$331,651	\$335,285	\$333,111	\$332,546
F&A Costs 1	\$228,812	\$179,092	\$181,054	\$179,880	\$179,575

F&A Cost Rate 2	32%				
F&A Cost Base 2	\$64,255				
F&A Costs 2	\$20,562				

Research Subaward Agreement Amendment Number 1			
Pass-through Entity (PTE)		Subrecipient	
Institution/Organization ("PTE") Entity Name: Oregon Health & Science University Email Address: spasub@ohsu.edu Principal Investigator: Todd Korthuis		Institution/Organization ("Subrecipient") Entity Name: City & County of San Francisco, Department of Public Health Email Address: sajid.shaikh@sfdph.org Principal Investigator: Phillip Coffin	
Project Title: Western States Node of the National Drug Abuse Treatment Clinical Trials Network			
PTE Federal Award No. 5UG1DA015815-20		Federal Awarding Agency: DHHS NIH NIDA	
Subaward Period of Performance: Start Date: 06/01/2020 End Date: 02/28/2022		Amount Funded This Action: \$26,262	Subaward No: 1017225_SFDPH
Effective Date of Amendment: 03/01/2021	Total Amount of Federal Funds Obligated to Date: \$55,200	Subject to FFATA: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Automatic Carryover: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

### Amendment(s) to Original Terms and Conditions

This Amendment revised the above-referenced Research Subaward Agreement as follows:

The Period of Performance is hereby extended through 02/28/2022.

The Current Budget Period is from 03/01/2021 through 02/28/2022.

Funds for the Current Budget Period are hereby awarded in the amount of \$26,262 per the Budget in Attachment 5.1.

Applicable terms and conditions in Attachment 6.1, the Prime Award, is hereby incorporated by reference.

Attachment 3A, PTE Contacts is hereby updated to replace the Invoice Address and the Authorized Official, as follows:

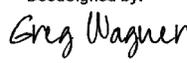
Invoice Address:

Oregon Health & Science University  
Office of Proposal and Award Management  
3181 SW Sam Jackson Park Road  
Portland, OR 97329-3098

Authorized Official:

Lisa Fitzpatrick, Grants & Contracts Manager, OPAM

All other terms and conditions of this Subaward Agreement remain in full force and effect.

By an Authorized Official of PTE   Date: 03/03/2021 Jen Michaud Subout Grants & Contracts Administrator	By an Authorized Official of Subrecipient  DocuSigned by:  Date: 3/2/2021   1:40 PM PST 28527524752949F... Name: Greg Wagner, CFO Title:
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National Institutes of Health  
 NATIONAL INSTITUTE ON DRUG ABUSE

**Notice of Award**  
 FAIN# UG1DA015815  
 Federal Award Date  
 02/22/2021

Recipient Information	Federal Award Information																										
<p><b>1. Recipient Name</b>                      OREGON HEALTH &amp; SCIENCE UNIVERSITY                      3181 SW SAM JACKSON PARK RD                       PORTLAND, OR 97239</p> <p><b>2. Congressional District of Recipient</b>                      03</p> <p><b>3. Payment System Identifier (ID)</b>                      1931176109A1</p> <p><b>4. Employer Identification Number (EIN)</b>                      931176109</p> <p><b>5. Data Universal Numbering System (DUNS)</b>                      096997515</p> <p><b>6. Recipient's Unique Entity Identifier</b></p> <p><b>7. Project Director or Principal Investigator</b>                      Philip Todd Korthuis, MD (Contact)                      Associate Professor Of Medicine                      korthuis@ohsu.edu                      (503) 494-8044</p> <p><b>8. Authorized Official</b>                      Jon Geselle                      geselle@ohsu.edu                      503-494-1291</p>	<p><b>11. Award Number</b>                      5UG1DA015815-20</p> <p><b>12. Unique Federal Award Identification Number (FAIN)</b>                      UG1DA015815</p> <p><b>13. Statutory Authority</b>                      42 USC 241 31 USC 6305 42 CFR 52</p> <p><b>14. Federal Award Project Title</b>                      Western States Node of the National Drug Abuse Treatment Clinical Trials Network</p> <p><b>15. Assistance Listing Number</b>                      93.279</p> <p><b>16. Assistance Listing Program Title</b>                      Drug Abuse and Addiction Research Programs</p> <p><b>17. Award Action Type</b>                      Non-Competing Continuation</p> <p><b>18. Is the Award R&amp;D?</b>                      Yes</p>																										
<p><b>Federal Agency Information</b></p> <p><b>9. Awarding Agency Contact Information</b>                      Jennifer L Schermerhorn                       NATIONAL INSTITUTE ON DRUG ABUSE                      schermerhornj@mail.nih.gov                      301-827-6704</p> <p><b>10. Program Official Contact Information</b>                      Ronald Dobbins                       NATIONAL INSTITUTE ON DRUG ABUSE                      rdobbins@nida.nih.gov                      301 443-6697</p>	<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr style="background-color: #e1f5fe;"> <th colspan="2" style="text-align: center;">Summary Federal Award Financial Information</th> </tr> </thead> <tbody> <tr style="background-color: #e1f5fe;"> <td colspan="2"><b>19. Budget Period Start Date 03/01/2021 – End Date 02/28/2022</b></td> </tr> <tr> <td><b>20. Total Amount of Federal Funds Obligated by this Action</b></td> <td style="text-align: right;">\$755,924</td> </tr> <tr> <td style="padding-left: 20px;">20 a. Direct Cost Amount</td> <td style="text-align: right;">\$576,832</td> </tr> <tr> <td style="padding-left: 20px;">20 b. Indirect Cost Amount</td> <td style="text-align: right;">\$179,092</td> </tr> <tr> <td><b>21. Authorized Carryover</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>22. Offset</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>23. Total Amount of Federal Funds Obligated this budget period</b></td> <td style="text-align: right;">\$755,924</td> </tr> <tr> <td><b>24. Total Approved Cost Sharing or Matching, where applicable</b></td> <td style="text-align: right;">\$0</td> </tr> <tr> <td><b>25. Total Federal and Non-Federal Approved this Budget Period</b></td> <td style="text-align: right;">\$755,924</td> </tr> <tr> <td colspan="2" style="text-align: center;">-----</td> </tr> <tr style="background-color: #e1f5fe;"> <td colspan="2"><b>26. Project Period Start Date 09/30/2002 – End Date 02/28/2025</b></td> </tr> <tr> <td><b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b></td> <td style="text-align: right;">\$3,029,533</td> </tr> </tbody> </table> <p><b>28. Authorized Treatment of Program Income</b>                      Additional Costs</p> <p><b>29. Grants Management Officer - Signature</b>                      Pamela G. Fleming</p>	Summary Federal Award Financial Information		<b>19. Budget Period Start Date 03/01/2021 – End Date 02/28/2022</b>		<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$755,924	20 a. Direct Cost Amount	\$576,832	20 b. Indirect Cost Amount	\$179,092	<b>21. Authorized Carryover</b>	\$0	<b>22. Offset</b>	\$0	<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$755,924	<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0	<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$755,924	-----		<b>26. Project Period Start Date 09/30/2002 – End Date 02/28/2025</b>		<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b>	\$3,029,533
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<b>22. Offset</b>	\$0																										
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<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0																										
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-----																											
<b>26. Project Period Start Date 09/30/2002 – End Date 02/28/2025</b>																											
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<b>30. Remarks</b>																											
Acceptance of this award, including the "Terms and Conditions," is acknowledged by the recipient when funds are drawn down or otherwise requested from the grant payment system.																											



Cooperative Agreement  
Department of Health and Human Services  
National Institutes of Health



NATIONAL INSTITUTE ON DRUG ABUSE

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**SECTION I – AWARD DATA – 5UG1DA015815-20****Principal Investigator(s):**

Keith N. Humphreys, PHD  
Philip Todd Korthuis (contact), MD

**Award e-mailed to:** orserv@ohsu.edu

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$755,924 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to OREGON HEALTH & SCIENCE UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 31 USC 6305 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as "Research reported in this publication was supported by the National Institute On Drug Abuse of the National Institutes of Health under Award Number UG1DA015815. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health." Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator's Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Pamela G. Fleming  
Grants Management Officer  
NATIONAL INSTITUTE ON DRUG ABUSE

Additional information follows

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

Salaries and Wages	\$201,547
Fringe Benefits	\$69,140
Personnel Costs (Subtotal)	\$270,687
Consultant Services	\$36,000
Travel	\$23,964
Subawards/Consortium/Contractual Costs	\$245,181
Publication Costs	\$1,000
<b>Federal Direct Costs</b>	<b>\$576,832</b>
<b>Federal F&amp;A Costs</b>	<b>\$179,092</b>
<b>Approved Budget</b>	<b>\$755,924</b>
<b>Total Amount of Federal Funds Authorized (Federal Share)</b>	<b>\$755,924</b>
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$755,924</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$755,924</b>

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
20	\$755,924	\$755,924
21	\$747,413	\$747,413
22	\$744,065	\$744,065
23	\$743,195	\$743,195

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

**Fiscal Information:**

**Payment System Identifier:** 1931176109A1  
**Document Number:** UDA015815E  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2021

IC	CAN	2021	2022	2023	2024
DA	8472653	\$755,924	\$747,413	\$744,065	\$743,195

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

**NIH Administrative Data:**

**PCC:** CT/RDD / **OC:** 41029 / **Released:** Fleming, Pamela 02/19/2021  
**Award Processed:** 02/22/2021 12:12:43 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5UG1DA015815-20**

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

**SECTION III – STANDARD TERMS AND CONDITIONS – 5UG1DA015815-20**

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

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget

- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

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

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

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) UG1DA015815. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is not subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award provides support for one or more clinical trials. By law (Title VIII, Section 801 of [Public Law 110-85](#)), the “responsible party” must register “applicable clinical trials” on the [ClinicalTrials.gov Protocol Registration System Information Website](#). NIH encourages registration of all trials whether required under the law or not. For more information, see [http://grants.nih.gov/ClinicalTrials\\_fdaaa/](http://grants.nih.gov/ClinicalTrials_fdaaa/)

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements

and procedures are found in Appendix A to 45 CFR Part 75. This term does not apply to NIH fellowships.

**Treatment of Program Income:**  
Additional Costs

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## SECTION IV – DA SPECIFIC AWARD CONDITIONS – 5UG1DA015815-20

Clinical Trial Indicator: Yes

This award supports one or more NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

### CTN TERMS

This award is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the Cooperative Agreement Terms and Conditions of Award detailed in "Section VI. Award Administration Information" section of [RFA-DA-15-008, "The National Drug Abuse Treatment Clinical Trials Network \(UG1\)"](#), 07/03/2014, which are hereby incorporated by reference as special terms and conditions of this award.

The NIH Project Scientist for this Cooperative Agreement is:

- Medication Treatment for Opioid Use Disorder in Expectant Mothers (MOMs): A Pragmatic Randomized Trial Comparing Extended-Release and Daily Buprenorphine Formulations (CTN-0080); Project Scientist - Carmen Rosa (phone: 301-480-2548; email: [croso@nida.nih.gov](mailto:croso@nida.nih.gov))
- Exemplar Hospital Initiation Trial to Enhance Treatment Engagement (EXHIT ENTRE) (CTN-0098); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- Subthreshold Opioid Use Disorder Prevention (STOP) Trial (CTN-0101); Project Scientist - Geetha Subramaniam (phone: 301-480-2593; email: [subramaniamga@nida.nih.gov](mailto:subramaniamga@nida.nih.gov))
- Rural Expansion of Medication Treatment for Opioid Use Disorder (CTN-0102); Project Scientist - Yanping Liu (phone: 301-451-4217; email: [liuyanp@nida.nih.gov](mailto:liuyanp@nida.nih.gov))
- Surmounting Withdrawal to Initiate Fast Treatment with Naltrexone (SWIFT): Improving the Real-World Effectiveness of Injection Naltrexone for Opioid Use Disorder (CTN-0097); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- Optimizing Retention, Duration and Discontinuation Strategies for Opioid Use Disorder Pharmacotherapy (CTN-0100); Project Scientist - David Liu (phone: 301-480-2535; email: [dliu@nida.nih.gov](mailto:dliu@nida.nih.gov))
- Comparing Treatments for HIV-Positive Opioid Users in an Integrated Care Effectiveness Study (CHOICES) (CTN-0055); Project Scientist - Raul Mandler (phone: 301-480-2541; email: [mandlerr@nida.nih.gov](mailto:mandlerr@nida.nih.gov)) and Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- Comparing Treatments for HIV-Infected Opioid Users in an Integrated Care Effectiveness Study (CHOICES); Scale-Up (CTN-0067); Project Scientist - Landhing Moran (phone: 301-827-0642; email: [lmoran@nida.nih.gov](mailto:lmoran@nida.nih.gov))
- Selection Bias-Free Estimation of the Impact of Drug-Focused 12-step Mutual Help Groups (CTN-0085); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- Inpatient versus Outpatient Treatment Outcomes for People with Opioid Use Disorder (CTN-0086); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- A Foundation to Examine Reasons for Discontinuation for Buprenorphine Care in the Veterans Health Administration (CTN-0087); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))

This award is subject to the current Data Safety Monitoring Plan (DSMP) submitted and previously approved by NIDA. Any changes in the DSMP must be reviewed and approved by the Program Official. If changes are approved, the approval will be reflected on the Notice of Award. If changes are not approved, the Principal Investigator must revise the DSMP to the satisfaction

of the program. The principal investigator must provide a DSMP for any new trial that is to be conducted under this grant.

### **DATA AND SAFETY MONITORING BOARD (DSMB)**

This award is subject to the [NIDA Guidelines for Establishing and Operating a Data and Safety Monitoring Board](#)

### **PROTECTION OF HUMAN SUBJECTS**

The grantee is reminded of the requirement for education in the protection of human research participation. This requirement can be satisfied by completing the on-line tutorial Protecting Human Research Participants (<http://phrp.nihtraining.com>). Additional details on this requirement can be found at NIH Notice [NOT-OD-08-054](#), "Guidance on NIH Office of Extramural Research (OER) on-line tutorial Protecting Human Research Participants (PHRP)."

The grantee is reminded that IRB approval(s) are required for each new protocol and performance site prior to implementation of human subjects research. No funds may be drawn down from the payment system and no obligations may be made against Federal funds for research involving human subjects at any site engaged in such research for any period not covered by an Office for Human Research Protections Assurance and an IRB approval consistent with the requirements of 45 CFR Part 46.

Failure to comply with the above requirements may result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action. See the NIH Grants Policy Statement, Section for Human Subjects under Public Policy Requirements <http://grants.nih.gov/policy/nihgps/index.htm> for specific requirements related to the protection of human subjects, which are applicable to and a term and condition of this award.

### **REBUDGETING**

Funding is provided at the projected total cost. Funds may be rebudgeted between direct costs and F&A costs, consistent with applicable cost principles and institutional and policy requirements for prior approval.

### **NIH SALARY CAP**

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. See current salary cap levels at NIH's [Salary Cap Summary](#) .

### **NIDA TERMS**

In conjunction with the Acknowledgment of Federal Funding Requirement (as specified in the NIH Grants Policy Statement, Appropriation Mandates- <http://grants.nih.gov/policy/nihgps/index.htm>), in order to most effectively disseminate research results, advance notice should be given to NIDA that research finds are about to be published so that we may coordinate accurate and timely release to the media. This information will be embargoed until the publication date. Any press notification should be coordinated with the NIDA Press Officer who can be reached at (301) 443-6245.

The National Institute on Drug Abuse (NIDA) encourages data harmonization to increase comparability, collaboration, and scientific yield of research on drug abuse. Towards that end, NIDA strongly encourages human-subject studies to incorporate a series of measures from the Substance Abuse and Addiction Core and Specialty collections, which are available in the PhenX Toolkit at <http://www.phenxtoolkit.org>. For more information about NIDA's data harmonization efforts, please see NOT-DA-12-008 at <http://grants.nih.gov/grants/guide/notice-files/NOT-DA-12-008.html>.

### **SPREADSHEET SUMMARY**

**AWARD NUMBER:** 5UG1DA015815-20

**INSTITUTION:** OREGON HEALTH & SCIENCE UNIVERSITY

Budget	Year 20	Year 21	Year 22	Year 23
Salaries and Wages	\$201,547	\$201,547	\$201,547	\$201,547
Fringe Benefits	\$69,140	\$69,140	\$69,140	\$69,140
Personnel Costs	\$270,687	\$270,687	\$270,687	\$270,687

(Subtotal)				
Consultant Services	\$36,000	\$36,000	\$36,000	\$36,000
Travel	\$23,964	\$26,598	\$24,424	\$23,859
Subawards/Consortium/ Contractual Costs	\$245,181	\$231,074	\$231,074	\$231,074
Publication Costs	\$1,000	\$2,000	\$2,000	\$2,000
TOTAL FEDERAL DC	\$576,832	\$566,359	\$564,185	\$563,620
TOTAL FEDERAL F&A	\$179,092	\$181,054	\$179,880	\$179,575
TOTAL COST	\$755,924	\$747,413	\$744,065	\$743,195

<b>Research Subaward Agreement Amendment Number 2</b>			
<b>Pass-through Entity (PTE)</b>		<b>Subrecipient</b>	
Institution/Organization ("PTE") Entity Name: Oregon Health & Science University Email Address: spasub@ohsu.edu Principal Investigator: Todd Korthuis		Institution/Organization ("Subrecipient") Entity Name: City & County of San Francisco, Department of Public Health Email Address: sajid.shaikh@sfdph.org Principal Investigator: Phillip Coffin	
Project Title: Western States Node of the National Drug Abuse Treatment Clinical Trials Network			
PTE Federal Award No. 5UG1DA015815-21		Federal Awarding Agency: DHHS NIH NIDA	
Subaward Period of Performance: Start Date: 06/01/2020 End Date: 02/28/2023		Amount Funded This Action: \$26,410	Subaward No: 1017225_SFDPH
Effective Date of Amendment: 03/01/2022	Total Amount of Federal Funds Obligated to Date: \$81,610	Subject to FFATA: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Automatic Carryover: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

**Amendment(s) to Original Terms and Conditions**

This Amendment revised the above-referenced Research Subaward Agreement as follows:

The Period of Performance is hereby extended through 02/28/2023.

The Current Budget Period is from 03/21/2022 through 02/28/2023.

Funds for the Current Budget Period are hereby awarded in the amount of \$26,410 per the Budget in Attachment 5.2.

Applicable terms and conditions in Attachment 6.2, the Prime Award, is hereby incorporated by reference.

Attachment 3A, PTE Contacts are updated as follows:

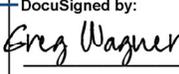
Administrative Contact:

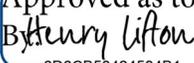
Name: Subout Grants & Contracts Administrator

Ph: 503-494-7784

Email: [spasub@ohsu.edu](mailto:spasub@ohsu.edu)

All other terms and conditions of this Subaward Agreement remain in full force and effect.

By an Authorized Official of PTE  Michael Padden <small>Digitally signed by Michael Padden Date: 2022.09.09 10:27:41 -07'00'</small> _____ Date: _____  Grants & Contracts Administrator	By an Authorized Official of Subrecipient  DocuSigned by:  _____ Date: 9/7/2022   3:28:17 PDT <small>7527524752949F...</small> Name: _____ Title:
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Approved as to form, David Chiu, City Attorney  
 By  Henry L. Lifton, Deputy City Attorney  
6D6CB58424584B1...  
 9/6/2022 | 11:30:07 PDT

San Francisco Department of Public Health (SFDPH)  
 Population Health Division – Center for Public Research  
 Western States Node of the National Drug Abuse Treatment Clinical Trials Network

**BUDGET JUSTIFICATION**  
 March 1, 2022 to February 28, 2023

<b>A.</b>	<b>PERSONNEL</b>	
<b>B.</b>	<b>MANDATORY FRINGE</b>	
1.	0.05 2232 – Senior Physician Specialist: Phillip Coffin	
	Annual Salary \$199,300 x 0.05 FTE for 12 month = \$9,965	
	Mandatory Fringe Benefits (@ 35%) = \$3,488	\$13,423
<p>Dr Coffin will work with the PIs to ensure the success of the next iteration of the Western States Node. Dr Coffin will complete all required forms, participate in regular calls, assist with the development of CTN concepts and protocols, and be prepared to act as a site in future CTN protocols.</p>		
	Total Salaries	\$9,865
	Total Fringe	\$3,488
	<b>TOTAL PERSONNEL:</b>	<b>\$13,423</b>
<b>C.</b>	<b>TRAVEL</b>	<b>\$0</b>
<b>D.</b>	<b>EQUIPMENT</b>	<b>\$0</b>
<b>E.</b>	<b>SUPPLIES</b>	<b>\$0</b>
<b>F.</b>	<b>CONTRACTUAL</b>	<b>\$11,012</b>
<p><b>Margarita Martin, Project Manager</b> (0.6 cal mos/5%). Ms. Martin is responsible for contract management related to this project, project-specific materials purchases and production and travel arrangements for Dr. Coffin</p>		
<b>G.</b>	<b>OTHER</b>	<b>\$600</b>
<p>Fund requested to cover the cost of rent for both PHFE staff and SFDPH staff. Rent calculated based FTE at a rate of \$2/sqft/mo x 250 sqft/person x 12 months. Cost of rent is not included in indirect rate.</p>		
	<b>TOTAL DIRECT COSTS</b>	<b>\$25,065</b>
<b>H.</b>	<b>INDIRECT COSTS 10% of total direct costs)</b>	<b>\$1,345</b>
	<b>TOTAL BUDGET:</b>	<b>\$26,410</b>


**Department of Health and Human Services**

 National Institutes of Health  
 NATIONAL INSTITUTE ON DRUG ABUSE

**Notice of Award**

FAIN# UG1DA015815

Federal Award Date

03/04/2022

**Recipient Information**
**1. Recipient Name**

 OREGON HEALTH & SCIENCE UNIVERSITY  
 3181 SW SAM JACKSON PARK RD

PORTLAND, OR 97239

**2. Congressional District of Recipient**

03

**3. Payment System Identifier (ID)**

1931176109A1

**4. Employer Identification Number (EIN)**

931176109

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

096997515

**6. Recipient's Unique Entity Identifier**

NPSNT86JKN51

**7. Project Director or Principal Investigator**

 Philip Todd Korthuis, MD (Contact)  
 Associate Professor Of Medicine  
 korthuis@ohsu.edu  
 503-494-8044

**8. Authorized Official**

 Elizabeth Sobolewski  
 salvatie@ohsu.edu  
 503-418-5498

**Federal Agency Information**
**9. Awarding Agency Contact Information**

Jennifer L Schermerhorn

 NATIONAL INSTITUTE ON DRUG ABUSE  
 schermerhornj@mail.nih.gov  
 301-827-6704

**10. Program Official Contact Information**

Ronald Dobbins

 NATIONAL INSTITUTE ON DRUG ABUSE  
 rdobbins@nida.nih.gov  
 301 443-6697

**30. Remarks**

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

**Federal Award Information**
**11. Award Number**

5UG1DA015815-21

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

UG1DA015815

**13. Statutory Authority**

42 USC 241 31 USC 6305 42 CFR 52

**14. Federal Award Project Title**

Western States Node of the National Drug Abuse Treatment Clinical Trials Network

**15. Assistance Listing Number**

93.279

**16. Assistance Listing Program Title**

Drug Abuse and Addiction Research Programs

**17. Award Action Type**

Non-Competing Continuation

**18. Is the Award R&D?**

Yes

**Summary Federal Award Financial Information**
**19. Budget Period Start Date 03/01/2022 – End Date 02/28/2023**
**20. Total Amount of Federal Funds Obligated by this Action** \$747,413

20 a. Direct Cost Amount \$566,359

20 b. Indirect Cost Amount \$181,054

**21. Authorized Carryover** \$0

**22. Offset** \$0

**23. Total Amount of Federal Funds Obligated this budget period** \$747,413

**24. Total Approved Cost Sharing or Matching, where applicable** \$0

**25. Total Federal and Non-Federal Approved this Budget Period** \$747,413

**26. Project Period Start Date 09/30/2002 – End Date 02/28/2025**
**27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period** \$4,708,343

**28. Authorized Treatment of Program Income**

Additional Costs

**29. Grants Management Officer - Signature**

Amy Connolly



NATIONAL INSTITUTE ON DRUG ABUSE

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**SECTION I – AWARD DATA – 5UG1DA015815-21**

**Principal Investigator(s):**

Keith N. Humphreys, PHD  
Philip Todd Korthuis (contact), MD

**Award e-mailed to:** orserv@ohsu.edu

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$747,413 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to OREGON HEALTH & SCIENCE UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 31 USC 6305 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Institute On Drug Abuse of the National Institutes of Health under Award Number UG1DA015815. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator’s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Amy Connolly  
Grants Management Officer  
NATIONAL INSTITUTE ON DRUG ABUSE

Additional information follows

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

Salaries and Wages	\$201,547
Fringe Benefits	\$69,140
Personnel Costs (Subtotal)	\$270,687
Consultant Services	\$36,000
Travel	\$26,598
Subawards/Consortium/Contractual Costs	\$231,074
Publication Costs	\$2,000

Federal Direct Costs	\$566,359
Federal F&A Costs	\$181,054
Approved Budget	\$747,413
Total Amount of Federal Funds Authorized (Federal Share)	\$747,413
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$747,413</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** \$747,413

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
21	\$747,413	\$747,413
22	\$744,065	\$744,065
23	\$743,195	\$743,195

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

**Fiscal Information:**

**Payment System Identifier:** 1931176109A1  
**Document Number:** UDA015815E  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2022

IC	CAN	2022	2023	2024
DA	8472653	\$747,413	\$744,065	\$743,195

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

**NIH Administrative Data:**

**PCC:** CT/RDD / **OC:** 41029 / **Released:** Connolly, Amy 03/03/2022

**Award Processed:** 03/04/2022 12:05:51 AM

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 5UG1DA015815-21**

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

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**SECTION III – STANDARD TERMS AND CONDITIONS – 5UG1DA015815-21**

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

- The grant program legislation and program regulation cited in this Notice of Award.
- Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- 45 CFR Part 75.
- National Policy Requirements and all other requirements described in the NIH Grants Policy

- Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
  - f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

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

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

Carry over of an unobligated balance into the next budget period requires Grants Management Officer prior approval.

This award is subject to the requirements of 2 CFR Part 25 for institutions to receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS requirement must be included. See <http://grants.nih.gov/grants/policy/awardconditions.htm> for the full NIH award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) UG1DA015815. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award is not subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170.

In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award provides support for one or more clinical trials. By law (Title VIII, Section 801 of [Public Law 110-85](#)), the “responsible party” must register “applicable clinical trials” on the [ClinicalTrials.gov Protocol Registration System Information Website](#). NIH encourages registration of all trials whether required under the law or not. For more information, see [http://grants.nih.gov/ClinicalTrials\\_fdaaa/](http://grants.nih.gov/ClinicalTrials_fdaaa/)

This award provides support for one or more NIH defined Phase III Clinical Trials. The NIH Policy for research supported as an NIH Phase III Clinical Trial has been amended in Section II.B. of the NIH Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research – Amended October 2001 (see [http://grants.nih.gov/grants/funding/women\\_min/guidelines\\_amended\\_10\\_2001.htm](http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm)).

A description of plans to conduct analyses, as appropriate, by sex/gender and racial/ethnic groups must be included in clinical trial protocols. Cumulative subject accrual and progress in conducting subset analyses must be reported to NIH in the annual Progress Reports. Final analyses of sex/gender and racial/ethnic differences must be reported in the required Final Progress Report or Competitive Renewal Applications (or Contract Renewals/Extensions) as stated in Section II.B. of the Guidelines.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such

proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

**Treatment of Program Income:**

Additional Costs

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**SECTION IV – DA SPECIFIC AWARD CONDITIONS – 5UG1DA015815-21**

Clinical Trial Indicator: Yes

This award supports one or more NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

**CTN TERMS**

This award is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the Cooperative Agreement Terms and Conditions of Award detailed in "Section VI. Award Administration Information" section of [RFA-DA-20-024, "The National Drug Abuse Treatment Clinical Trials Network \(UG1 Clinical Trial Required\)"](#), 9/4/2019, which are hereby incorporated by reference as special terms and conditions of this award.

The NIH Project Scientist for this Cooperative Agreement is:

- Medication Treatment for Opioid Use Disorder in Expectant Mothers (MOMs): A Pragmatic Randomized Trial Comparing Extended-Release and Daily Buprenorphine Formulations (CTN-0080); Project Scientist - Carmen Rosa (phone: 301-480-2548; email: [croasa@nida.nih.gov](mailto:croasa@nida.nih.gov))
- Inpatient versus Outpatient Treatment Outcomes for People with Opioid Use Disorder (CTN-0086); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- Exemplar Hospital Initiation Trial to Enhance Treatment Engagement (EXHIT ENTRE) (CTN-0098); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- Subthreshold Opioid Use Disorder Prevention (STOP) Trial (CTN-0101); Project Scientist - Geetha Subramaniam (phone: 301-480-2593; email: [subramaniamga@nida.nih.gov](mailto:subramaniamga@nida.nih.gov))
- Assessment and Design of a Cost-Effective Collaborative MOUD Delivery System (CTN-0124); Project Scientist - Udi Ghitza (phone: 301-480-2529; email: [ghitzau@nida.nih.gov](mailto:ghitzau@nida.nih.gov))
- Integrative Data Analysis of CTN Studies to Examine the Impact of Psychosocial Treatments for Black People who use Cocaine (CTN-0125); Project Scientist - Xiaoming Wang (email: [wangx19@mail.nih.gov](mailto:wangx19@mail.nih.gov); phone: 301-827-6332)

This award is subject to the current Data Safety Monitoring Plan (DSMP) submitted and previously approved by NIDA. Any changes in the DSMP must be reviewed and approved by the Program Official. If changes are approved, the approval will be reflected on the Notice of Award. If changes are not approved, the Principal Investigator must revise the DSMP to the satisfaction of the Program Official. The Principal Investigator must provide a DSMP for any new trial that is to be conducted under this grant.

**DATA AND SAFETY MONITORING BOARD (DSMB)**

This award is subject to the [NIDA Guidelines for Establishing and Operating a Data and Safety Monitoring Board](#).

**PROTECTION OF HUMAN SUBJECTS**

The grantee is reminded of the requirement for education in the protection of human research participation. This requirement can be satisfied by completing the on-line tutorial Protecting Human Research Participants (<http://phrp.nihtraining.com>). Additional details on this requirement can be found at NIH Notice [NOT-OD-08-054](#), "Guidance on NIH Office of Extramural Research (OER) on-line tutorial Protecting Human Research Participants (PHRP)."

The grantee is reminded that IRB approval(s) are required for each new protocol and performance site prior to implementation of human subjects research. No funds may be drawn down from the payment system and no obligations may be made against Federal funds for research involving human subjects at any site engaged in such research for any period not covered by an Office for Human Research Protections Assurance and an IRB approval consistent with the requirements of 45 CFR Part 46.

Failure to comply with the above requirements may result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action. See the NIH Grants Policy Statement, Section for Human Subjects under Public Policy Requirements <http://grants.nih.gov/policy/nihgps/index.htm> for specific requirements related to the protection of human subjects, which are applicable to and a term and condition of this award.

**REBUDGETING**

Funding is provided at the projected total cost. Funds may be rebudgeted between direct costs and F&A costs, consistent with applicable cost principles and institutional and policy requirements for prior approval.

**NIH SALARY CAP**

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. See current salary cap levels at NIH's [Salary Cap Summary](#).

**NIDA TERMS**

In conjunction with the Acknowledgment of Federal Funding Requirement (as specified in the NIH Grants Policy Statement, Appropriation Mandates <http://grants.nih.gov/policy/nihgps/index.htm>, in order to most effectively disseminate research results, advance notice should be given to NIDA that research findings are about to be published so that we may coordinate accurate and timely release to the media. This information will be embargoed until the publication date. Please see the NIDA Special Considerations Page for guidance on coordination with the NIDA Press Office at <https://www.drugabuse.gov/funding/special-considerations-for-nida-funding>, or contact the NIDA Press Office at [media@nida.nih.gov](mailto:media@nida.nih.gov).

Please see Special Considerations for NIDA Funding Opportunities and Awards at <https://www.drugabuse.gov/funding/special-considerations-for-nida-funding>.

**SPREADSHEET SUMMARY**

**AWARD NUMBER:** 5UG1DA015815-21

**INSTITUTION:** OREGON HEALTH & SCIENCE UNIVERSITY

Budget	Year 21	Year 22	Year 23
Salaries and Wages	\$201,547	\$201,547	\$201,547
Fringe Benefits	\$69,140	\$69,140	\$69,140
Personnel Costs (Subtotal)	\$270,687	\$270,687	\$270,687
Consultant Services	\$36,000	\$36,000	\$36,000
Travel	\$26,598	\$24,424	\$23,859
Subawards/Consortium/Contractual Costs	\$231,074	\$231,074	\$231,074
Publication Costs	\$2,000	\$2,000	\$2,000
TOTAL FEDERAL DC	\$566,359	\$564,185	\$563,620
TOTAL FEDERAL F&A	\$181,054	\$179,880	\$179,575
TOTAL COST	\$747,413	\$744,065	\$743,195

Facilities and Administrative Costs	Year 21	Year 22	Year 23
F&A Cost Rate 1	54%	54%	54%
F&A Cost Base 1	\$335,285	\$333,111	\$332,546
F&A Costs 1	\$181,054	\$179,880	\$179,575



<b>Research Subaward Agreement Amendment Number 3</b>			
<b>Pass-through Entity (PTE)</b>		<b>Subrecipient</b>	
Institution/Organization ("PTE") Entity Name: Oregon Health & Science University Email Address: spasub@ohsu.edu Principal Investigator: Todd Korthuis		Institution/Organization ("Subrecipient") Entity Name: City & County of San Francisco, Department of Public Health Email Address: sajid.shaikh@sfdph.org Principal Investigator: Phillip Coffin	
Project Title: Western States Node of the National Drug Abuse Treatment Clinical Trials Network			
PTE Federal Award No. 5UG1DA015815-22		Federal Awarding Agency: DHHS NIH NIDA	
Subaward Period of Performance: Start Date: 06/01/2020 End Date: 29-FEB-2024	Amount Funded This Action: \$28,327.00	Subaward No: 1017225_SFDPH	
Effective Date of Amendment: 01-MAR-2023	Total Amount of Federal Funds Obligated to Date: \$109,937.00	Subject to FFATA: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	Automatic Carryover: <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No

**Amendment(s) to Original Terms and Conditions**

This Amendment revised the above-referenced Research Subaward Agreement as follows:

The Period of Performance is hereby extended through 29-FEB-2024.

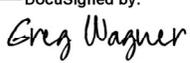
The Current Budget Period is from 01-MAR-2023 through 29-FEB-2024.

Funds for the Current Budget Period are hereby awarded in the amount of \$28,327.00 per the Budget in Attachment 5.3.

Applicable terms and conditions in Attachment 6.3, the Prime Award, is hereby incorporated by reference.

Dr. Grant Colfax, Director of Health, retroactively approves the original agreement dated August 18, 2020. Deputy City Attorney, Henry L. Lifton, retroactively approves as to form the original agreement and Amendment No. 1.

All other terms and conditions of this Subaward Agreement remain in full force and effect.

By an Authorized Official of PTE <b>Dawn M. Geoppinger</b> Digitally signed by Dawn M. Geoppinger Date: 2023.04.03 11:33:56 -07'00' Name: Grants & Contracts Administrator Date: _____	By an Authorized Official of Subrecipient DocuSigned by:  28527524752949F... Date: 4/3/2023   9:59:42 PDT Name: Grant Colfax, MD Title: Director of Health
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Approved as to form, David Chiu, City Attorney

By:   
 6D6CB58424584B1...  
 Henry L. Lifton, Deputy City Attorney

**DETAILED BUDGET FOR INITIAL BUDGET PERIOD  
DIRECT COSTS ONLY**

FROM  
03/01/2023

THROUGH  
02/29/2024

List PERSONNEL (*Applicant organization only*)  
Use Cal, Acad, or Summer to Enter Months Devoted to Project  
Enter Dollar Amounts Requested (*omit cents*) for Salary Requested and Fringe Benefits

NAME	ROLE ON PROJECT	Cal. Mnths	Acad. Mnths	Summer Mnths	INST.BASE SALARY	SALARY REQUESTED	FRINGE BENEFITS	TOTAL
Coffin, Phillip	Co-Investigator	0.6			\$203,700	\$10,185	\$3,667	\$13,852
<b>SUBTOTALS</b>						<b>\$10,185</b>	<b>\$3,667</b>	<b>\$13,852</b>

CONSULTANT COSTS	
EQUIPMENT ( <i>Itemize</i> )	
SUPPLIES ( <i>Itemize by category</i> )	
TRAVEL	
INPATIENT CARE COSTS	
OUTPATIENT CARE COSTS	
ALTERATIONS AND RENOVATIONS ( <i>Itemize by category</i> )	
OTHER EXPENSES ( <i>Itemize by category</i> )	

CONSORTIUM/CONTRACTUAL COSTS Heluna Health (PHFE) \$11,012	DIRECT COSTS	\$11,012
<b>SUBTOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD</b> ( <i>Item 7a, Face Page</i> )		<b>\$ 24,864</b>
CONSORTIUM/CONTRACTUAL COSTS – 25% MTDC x \$13,852	FACILITIES AND ADMINISTRATIVE COSTS	\$3,463
<b>TOTAL DIRECT COSTS FOR INITIAL BUDGET PERIOD</b>		<b>\$ 28,327</b>



Recipient Information	Federal Award Information																										
<p><b>1. Recipient Name</b> OREGON HEALTH &amp; SCIENCE UNIVERSITY 3181 SW SAM JACKSON PARK RD  PORTLAND, 97239</p> <p><b>2. Congressional District of Recipient</b> 03</p> <p><b>3. Payment System Identifier (ID)</b> 1931176109A1</p> <p><b>4. Employer Identification Number (EIN)</b> 931176109</p> <p><b>5. Data Universal Numbering System (DUNS)</b> 096997515</p> <p><b>6. Recipient's Unique Entity Identifier</b> NPSNT86JKN51</p> <p><b>7. Project Director or Principal Investigator</b> Philip Todd Korthuis, MD (Contact) Associate Professor Of Medicine korthuis@ohsu.edu 503-494-8044</p> <p><b>8. Authorized Official</b> Elizabeth Sobolewski salvatie@ohsu.edu 503-418-5498</p>	<p><b>11. Award Number</b> 5UG1DA015815-22</p> <p><b>12. Unique Federal Award Identification Number (FAIN)</b> UG1DA015815</p> <p><b>13. Statutory Authority</b> 42 USC 241 31 USC 6305 42 CFR 52</p> <p><b>14. Federal Award Project Title</b> Western States Node of the National Drug Abuse Treatment Clinical Trials Network</p> <p><b>15. Assistance Listing Number</b> 93.279</p> <p><b>16. Assistance Listing Program Title</b> Drug Abuse and Addiction Research Programs</p> <p><b>17. Award Action Type</b> Non-Competing Continuation (REVISED)</p> <p><b>18. Is the Award R&amp;D?</b> Yes</p>																										
<p><b>Federal Agency Information</b></p> <p><b>9. Awarding Agency Contact Information</b> Allison Moyal Grants Management Specialist NATIONAL INSTITUTE ON DRUG ABUSE moyala@mail.nih.gov 3018278036</p> <p><b>10. Program Official Contact Information</b> Ronald Dobbins  NATIONAL INSTITUTE ON DRUG ABUSE rdobbins@nida.nih.gov 301 443-6697</p>	<table border="1" style="width:100%; border-collapse: collapse; margin-bottom: 10px;"> <thead> <tr style="background-color: #e1eef6;"> <th colspan="2" style="text-align: center; padding: 5px;">Summary Federal Award Financial Information</th> </tr> </thead> <tbody> <tr style="background-color: #e1eef6;"> <td colspan="2" style="padding: 5px;"><b>19. Budget Period Start Date 03/01/2023 – End Date 02/29/2024</b></td> </tr> <tr> <td style="padding: 5px;"><b>20. Total Amount of Federal Funds Obligated by this Action</b></td> <td style="text-align: right; padding: 5px;">\$0</td> </tr> <tr> <td style="padding: 5px;">    20 a. Direct Cost Amount</td> <td style="text-align: right; padding: 5px;">\$28,088</td> </tr> <tr> <td style="padding: 5px;">    20 b. Indirect Cost Amount</td> <td style="text-align: right; padding: 5px;">\$10,074</td> </tr> <tr> <td style="padding: 5px;"><b>21. Authorized Carryover</b></td> <td style="text-align: right; padding: 5px;">\$38,162</td> </tr> <tr> <td style="padding: 5px;"><b>22. Offset</b></td> <td style="text-align: right; padding: 5px;">\$0</td> </tr> <tr> <td style="padding: 5px;"><b>23. Total Amount of Federal Funds Obligated this budget period</b></td> <td style="text-align: right; padding: 5px;">\$178,971</td> </tr> <tr> <td style="padding: 5px;"><b>24. Total Approved Cost Sharing or Matching, where applicable</b></td> <td style="text-align: right; padding: 5px;">\$0</td> </tr> <tr> <td style="padding: 5px;"><b>25. Total Federal and Non-Federal Approved this Budget Period</b></td> <td style="text-align: right; padding: 5px;">\$178,971</td> </tr> <tr> <td colspan="2" style="padding: 5px;">-----</td> </tr> <tr style="background-color: #e1eef6;"> <td colspan="2" style="padding: 5px;"><b>26. Project Period Start Date 09/30/2002 – End Date 02/28/2025</b></td> </tr> <tr> <td style="padding: 5px;"><b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b></td> <td style="text-align: right; padding: 5px;">\$5,882,863</td> </tr> </tbody> </table> <p><b>28. Authorized Treatment of Program Income</b> Additional Costs</p> <p><b>29. Grants Management Officer - Signature</b> Carol Alderson</p>	Summary Federal Award Financial Information		<b>19. Budget Period Start Date 03/01/2023 – End Date 02/29/2024</b>		<b>20. Total Amount of Federal Funds Obligated by this Action</b>	\$0	20 a. Direct Cost Amount	\$28,088	20 b. Indirect Cost Amount	\$10,074	<b>21. Authorized Carryover</b>	\$38,162	<b>22. Offset</b>	\$0	<b>23. Total Amount of Federal Funds Obligated this budget period</b>	\$178,971	<b>24. Total Approved Cost Sharing or Matching, where applicable</b>	\$0	<b>25. Total Federal and Non-Federal Approved this Budget Period</b>	\$178,971	-----		<b>26. Project Period Start Date 09/30/2002 – End Date 02/28/2025</b>		<b>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</b>	\$5,882,863
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<b>30. Remarks</b>																											
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Cooperative Agreement  
Department of Health and Human Services  
National Institutes of Health

Notice of Award



NATIONAL INSTITUTE ON DRUG ABUSE

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**SECTION I – AWARD DATA – 5UG1DA015815-22 REVISED**

**Principal Investigator(s):**

Keith N. Humphreys, PHD  
Philip Todd Korthis (contact), MD

**Award e-mailed to:** orserv@ohsu.edu

Dear Authorized Official:

The National Institutes of Health hereby revises this award (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to OREGON HEALTH & SCIENCE UNIVERSITY in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 31 USC 6305 42 CFR 52 and is subject to the requirements of this statute and regulation and of other referenced, incorporated or attached terms and conditions.

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

Each publication, press release, or other document about research supported by an NIH award must include an acknowledgment of NIH award support and a disclaimer such as “Research reported in this publication was supported by the National Institute On Drug Abuse of the National Institutes of Health under Award Number UG1DA015815. The content is solely the responsibility of the authors and does not necessarily represent the official views of the National Institutes of Health.” Prior to issuing a press release concerning the outcome of this research, please notify the NIH awarding IC in advance to allow for coordination.

Award recipients must promote objectivity in research by establishing standards that provide a reasonable expectation that the design, conduct and reporting of research funded under NIH awards will be free from bias resulting from an Investigator’s Financial Conflict of Interest (FCOI), in accordance with the 2011 revised regulation at 42 CFR Part 50 Subpart F. The Institution shall submit all FCOI reports to the NIH through the eRA Commons FCOI Module. The regulation does not apply to Phase I Small Business Innovative Research (SBIR) and Small Business Technology Transfer (STTR) awards. Consult the NIH website <http://grants.nih.gov/grants/policy/coi/> for a link to the regulation and additional important information.

If you have any questions about this award, please direct questions to the Federal Agency contacts.

Sincerely yours,

Carol Alderson  
Grants Management Officer  
NATIONAL INSTITUTE ON DRUG ABUSE

Additional information follows

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

Salaries and Wages	\$222,379
Fringe Benefits	\$82,056
Personnel Costs (Subtotal)	\$304,435
Consultant Services	\$3,750
Materials & Supplies	\$2,600
Travel	\$36,510
Other	\$1,200
Subawards/Consortium/Contractual Costs	\$989,704
Publication Costs	\$2,000
Federal Direct Costs	\$1,340,199
Federal F&A Costs	\$184,926
Approved Budget	\$1,525,125
Total Amount of Federal Funds Authorized (Federal Share)	\$178,971
Cumulative Authorized Carryover and Offset for this Budget Period	\$1,346,154
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$178,971</b>
<b>AMOUNT OF THIS ACTION (FEDERAL SHARE)</b>	<b>\$0</b>

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
22	\$178,971	\$178,971
23	\$743,195	\$743,195

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

**Fiscal Information:**

Payment System Identifier: 1931176109A1  
 Document Number: UDA015815E  
 PMS Account Type: P (Subaccount)  
 Fiscal Year: 2023

IC	CAN	2023	2024
DA	8058361	\$178,971	
DA	8472653		\$743,195

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

**NIH Administrative Data:**

PCC: CT/RDD / OC: 41029 / Released: Alderson, Carol 03/07/2023  
 Award Processed: 03/08/2023 12:10:36 AM

**SECTION II – PAYMENT/HOTLINE INFORMATION – 5UG1DA015815-22 REVISED**

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

**SECTION III – STANDARD TERMS AND CONDITIONS – 5UG1DA015815-22 REVISED**

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

- a. The grant program legislation and program regulation cited in this Notice of Award.
- b. Conditions on activities and expenditure of funds in other statutory requirements, such as those included in appropriations acts.
- c. 45 CFR Part 75.
- d. National Policy Requirements and all other requirements described in the NIH Grants Policy Statement, including addenda in effect as of the beginning date of the budget period.
- e. Federal Award Performance Goals: As required by the periodic report in the RPPR or in the final progress report when applicable.
- f. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

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

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In accordance with P.L. 110-161, compliance with the NIH Public Access Policy is now mandatory. For more information, see NOT-OD-08-033 and the Public Access website: <http://publicaccess.nih.gov/>.

This award provides support for one or more clinical trials. By law (Title VIII, Section 801 of [Public Law 110-85](#)), the “responsible party” must register “applicable clinical trials” on the [ClinicalTrials.gov Protocol Registration System Information Website](#). NIH encourages registration of all trials whether required under the law or not. For more information, see [http://grants.nih.gov/ClinicalTrials\\_fdaaa/](http://grants.nih.gov/ClinicalTrials_fdaaa/)

This award provides support for one or more NIH defined Phase III Clinical Trials. The NIH Policy for research supported as an NIH Phase III Clinical Trial has been amended in Section II.B. of the NIH Guidelines on the Inclusion of Women and Minorities as Subjects in Clinical Research – Amended October 2001 (see [http://grants.nih.gov/grants/funding/women\\_min/guidelines\\_amended\\_10\\_2001.htm](http://grants.nih.gov/grants/funding/women_min/guidelines_amended_10_2001.htm)).

A description of plans to conduct analyses, as appropriate, by sex/gender and racial/ethnic groups must be included in clinical trial protocols. Cumulative subject accrual and progress in conducting subset analyses must be reported to NIH in the annual Progress Reports. Final analyses of sex/gender and racial/ethnic differences must be reported in the required Final Progress Report or Competitive Renewal Applications (or Contract Renewals/Extensions) as stated in Section II.B. of the Guidelines.

Recipients must administer the project in compliance with federal civil rights laws that prohibit discrimination on the basis of race, color, national origin, disability, age, and comply with applicable conscience protections. The recipient will comply with applicable laws that prohibit discrimination on the basis of sex, which includes discrimination on the basis of gender identity, sexual orientation, and pregnancy. Compliance with these laws requires taking reasonable steps to provide meaningful access to persons with limited English proficiency and providing programs that are accessible to and usable by persons with disabilities. The HHS Office for Civil Rights provides guidance on complying with civil rights laws enforced by HHS. See <https://www.hhs.gov/civil-rights/for-providers/provider-obligations/index.html> and <https://www.hhs.gov/>.

- Recipients of FFA must ensure that their programs are accessible to persons with limited English proficiency. For guidance on meeting the legal obligation to take reasonable steps to ensure meaningful access to programs or activities by limited English proficient individuals, see <https://www.hhs.gov/civil-rights/for-individuals/special-topics/limited-english-proficiency/fact-sheet-guidance/index.html> and <https://www.lep.gov>.
- For information on an institution's specific legal obligations for serving qualified individuals with disabilities, including providing program access, reasonable modifications, and to provide effective communication, see <http://www.hhs.gov/ocr/civilrights/understanding/disability/index.html>.
- HHS funded health and education programs must be administered in an environment free of sexual harassment; see <https://www.hhs.gov/civil-rights/for-individuals/sex-discrimination/index.html>. For information about NIH's commitment to supporting a safe and respectful work environment, who to contact with questions or concerns, and what NIH's expectations are for institutions and the individuals supported on NIH-funded awards, please see <https://grants.nih.gov/grants/policy/harassment.htm>.
- For guidance on administering programs in compliance with applicable federal religious nondiscrimination laws and applicable federal conscience protection and associated anti-discrimination laws, see <https://www.hhs.gov/conscience/conscience-protections/index.html> and <https://www.hhs.gov/conscience/religious-freedom/index.html>.

In accordance with the regulatory requirements provided at 45 CFR 75.113 and Appendix XII to 45 CFR Part 75, recipients that have currently active Federal grants, cooperative agreements, and procurement contracts with cumulative total value greater than \$10,000,000 must report and maintain information in the System for Award Management (SAM) about civil, criminal, and administrative proceedings in connection with the award or performance of a Federal award that reached final disposition within the most recent five-year period. The recipient must also make semiannual disclosures regarding such proceedings. Proceedings information will be made publicly available in the designated integrity and performance system (currently the Federal Awardee Performance and Integrity Information System (FAPIIS)). Full reporting requirements and procedures are found in Appendix XII to 45 CFR Part 75. This term does not apply to NIH fellowships.

**Treatment of Program Income:**

Additional Costs

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**SECTION IV – DA SPECIFIC AWARD CONDITIONS – 5UG1DA015815-22 REVISED**

Clinical Trial Indicator: Yes

This award supports one or more NIH-defined Clinical Trials. See the NIH Grants Policy Statement Section 1.2 for NIH definition of Clinical Trial.

## REVISION #1 - CARRYOVER APPROVED

This revised award includes a carryover of \$38,162 (\$28,088 direct costs; \$10,074 F&A costs) from the -20 year to the -22 year. These funds are restricted for the stated purpose(s) listed in the eRA-submitted request dated 2-21-23 from Elizabeth Sobolewski at Oregon Health & Science University and may not be rebudgeted or used for other purposes.

The recipient is reminded that carryover funds are subject to the appropriation in effect when the funds were initially awarded, and salaries must not exceed the applicable [salary cap](#) for that fiscal year. For additional information, see the [NIH Grants Policy Statement \(NIH GPS\)](#), and see Section on Salary Cap, Salary Limitation, 4.2.10, and Prior Approval Requirements, 8.1.2.

This revision supersedes Notice of Award (NoA) issued 2-28-23. All other terms below remain applicable.

\*\*\*\*\*

## HUMAN SUBJECTS RESOLVED for CTN-0125 and CTN-0136

This award reflects NIDA's acceptance of the certification of Institutional Review Board (IRB) approval for the recipient and releases the restriction on the Notice of Award issued on 5-31-22 and 9-9-22. Accordingly, the special condition prohibiting research involving human subjects is removed as of the effective date of the IRB approval. See the NIH Grants Policy Statement, section on Human Subjects Protections <http://grants.nih.gov/policy/nihgps/index.htm> for specific requirements related to the protection of human subjects, which are applicable to this term and condition of award.

This revision supersedes Notice of Award (NoA) issued on MM/DD/YY. All other terms below remain applicable.

## FUNDING ADJUSTMENT

Funds in the amount of \$1,307,992 have been used as an offset to this award in accordance with the unobligated balance reported on the -20 year Federal Financial Report. Funds in the amount of \$178,971 are being awarded to cover costs associated with HEAL studies only.

## CTN TERMS

This award is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the Cooperative Agreement Terms and Conditions of Award detailed in "Section VI. Award Administration Information" section of [RFA-DA-20-024, "The National Drug Abuse Treatment Clinical Trials Network \(UG1 Clinical Trial Required\)"](#), 9/4/2019, which are hereby incorporated by reference as special terms and conditions of this award.

The NIH Project Scientist for this Cooperative Agreement is:

CTN-0101: Geetha Subramaniam  
Email: [subramaniamga@nida.nih.gov](mailto:subramaniamga@nida.nih.gov)  
Phone: 301-480-2593

CTN-0125: Xiaoming Wang  
Email: [wangx19@mail.nih.gov](mailto:wangx19@mail.nih.gov)  
Phone: 301-827-6332

CTN-0136: Jeremiah Bertz  
Email: [Jeremiah.bertz@nih.gov](mailto:Jeremiah.bertz@nih.gov)  
Phone: 301-433-6697

CTN-0139: Geetha Subramaniam  
Email: [subramaniamga@nida.nih.gov](mailto:subramaniamga@nida.nih.gov)  
Phone: 301-480-2593

## **DATA SAFETY MONITORING PLAN**

This award is subject to the current Data Safety Monitoring Plan (DSMP) submitted and previously approved by NIDA. Any changes in the DSMP must be reviewed and approved by the Program Official. If changes are approved, the approval will be reflected on the Notice of Award (NoA). If changes are not approved, the Principal Investigator must revise the DSMP to the satisfaction of the Program Official. The Principal Investigator must provide a DSMP for any new trial that is to be conducted under this grant.

## **DATA AND SAFETY MONITORING BOARD (DSMB)**

This award is subject to the [NIDA Guidelines for Establishing and Operating a Data and Safety Monitoring Board](#).

## **NIH SALARY CAP**

None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of the current salary cap. See current salary cap levels at NIH's [Salary Cap Summary](#).

## **PROTECTION OF HUMAN SUBJECTS & sIRB REQUIREMENTS**

The recipient is reminded of the requirement for education in the protection of human research participation. This requirement can be satisfied by completing the on-line tutorial Protecting Human Research Participants (<http://phrp.nihtraining.com>). Additional details on this requirement can be found at NIH Notice [NOT-OD-08-054](#), "Guidance on NIH Office of Extramural Research (OER) on-line tutorial Protecting Human Research Participants (PHRP)."

The recipient is reminded that NIH requires sites engaged in NIH-funded, multi-site research conducted at more than one domestic site to rely upon approval by a single Institutional Review Board (sIRB) as required by the Revised Common Rule (rCR) at 45 CFR Part 46.114 and the NIH sIRB Policy (NOT-OD-16-094). More information on this requirement can be found in the NIHGPS [4.1.15 Human Subjects Protections \(nih.gov\)](#) and the NIH Notice [NOT-OD-16-094](#), "Final NIH Policy on the Use of a Single Institutional review Board for Multi-Site Research"). Institutional Review Board (IRB) approval(s) is required for each new protocol and performance site prior to implementation of human subjects research. No funds may be drawn down from the payment system and no obligations may be made against Federal funds for research involving human subjects at any site engaged in such research for any period not covered by an Office for Human Research Protections Assurance and an IRB approval consistent with the requirements of 45 CFR Part 46.

Failure to comply with the above requirements may result in suspension and/or termination of this award, withholding of support, audit disallowances, and/or other appropriate action. See the NIH Grants Policy Statement, Section [4.1.15 Human Subjects Protections](#) for specific requirements related to the protection of human subjects, which are applicable to and a term and condition of this award.

## **REBUDGETING**

Funding is provided at the projected total cost. Funds may be rebudgeted between direct costs and facilities and administrative (F&A) costs, consistent with applicable cost principles and institutional and policy requirements for prior approval.

## **PARTICIPATION IN ANNUAL INVESTIGATOR MEETINGS**

The NIH HEAL Initiative will require a high level of coordination and sharing between investigators. It is expected that NIH HEAL Initiative recipients will cooperate and coordinate their activities after awards are made by participating in Program Director/Principal Investigator (PD/PI) meetings, including an annual HEAL Investigators Meeting, as well as other activities.

## **HEAL DATA SHARING PLATFORM REQUIREMENTS**

NIH intends to maximize the impact of HEAL Initiative-supported projects through broad and rapid data sharing. As a requirement of the **HEAL Initiative Public Access and Data Sharing Policy** (<https://heal.nih.gov/data/public-access-data>), and in line with the new **NIH Policy for Data Management and Sharing** (<https://grants.nih.gov/grants/guide/notice-files/NOT-OD-21-013.html>), all HEAL Initiative award recipients, regardless of the amount of direct costs requested for any budget or project period, are required to include a Data Management and Sharing Plan outlining how scientific data, accompanying metadata, other relevant data, and associated documentation will be managed and shared. The plan should describe data types, file formats,

submission timelines, and standards used in collecting or processing the data. It is expected that data generated by HEAL Initiative-funded projects will be submitted to study-appropriate domain-specific or generalist repositories in consultation with the HEAL Data Stewardship Group to ensure the data is accessible via the HEAL Initiative Data Ecosystem. Recipients shall consult with the HEAL Data Stewardship Group to follow requirements and timelines developed through the [HEAL Initiative Data Ecosystem](#), for example, use of HEAL Data Ecosystem resources including but not limited to recommended repositories, clinical data elements, metadata standards, and data dictionaries.

As a [standard term and condition of award](#) all data collected as part of the NIH HEAL Initiative are collected under a Certificate of Confidentiality and entitled to the protections thereof. Recipients who receive Data and/or Materials from this award for performance of activities under this award are required to use the Data and/or Materials only as outlined by the NIH HEAL Initiative, in a manner that is consistent with applicable state and federal laws and regulations, including any informed consent requirements and the terms of the recipient's NIH funding, including 42 U.S.C. 241(d). Failure to adhere to the terms and conditions of the award, NIH may take one or more enforcement actions which include disallowing costs, withholding of further awards, or wholly or partly suspending the grant, pending corrective action.

It is expected that all data collected by award recipients and their collaborators as part of the NIH HEAL Initiative will be accessible via the HEAL Data Ecosystem. Award recipients and their collaborators are required to acknowledge HEAL Initiative support by referencing in the acknowledgement sections of any relevant publication the following terminology “the HEAL Initiative (<https://heal.nih.gov>.” For more information regarding HEAL Initiative data sharing, visit the [HEAL Initiative Data Ecosystem](#).

HEAL Initiative studies conducting clinical research or research involving human subjects must meet the following additional requirements:

- HEAL Initiative trials that are required to register in [clinicaltrials.gov](https://clinicaltrials.gov) should reference support from and inclusion in the HEAL Initiative by including the standardized terms “the HEAL Initiative (<https://heal.nih.gov>)” in the Study Description Section.
- All new HEAL clinical pain studies are required to submit their case-report forms/questionnaires to the HEAL Clinical Data Elements (CDE) Program. The program will create the CDE files containing standardized variable names, responses, coding, and other information. The program will also format the case-report forms in a standardized way that is compliant with accessibility standards under Section 508 of the Rehabilitation Act of 1973 ([29 U.S.C § 794 \(d\)](#)), which “require[s] Federal agencies to make their electronic and information technology accessible to people with disabilities.” HEAL Initiative clinical studies that are using copyrighted questionnaires are required to obtain licenses for use prior to initiating data collection. Licenses must be shared with the HEAL CDE team and the program officer prior to use of copyrighted materials. For additional information, visit [the HEAL CDE Program](#).
- To the extent possible, HEAL awardees are expected to integrate broad data sharing consent language into their informed consent forms.

## **NIDA TERMS**

In conjunction with the Acknowledgment of Federal Funding Requirement (as specified in the NIH Grants Policy Statement, Appropriation Mandates <http://grants.nih.gov/policy/nihgps/index.htm>), in order to most effectively disseminate research results, advance notice should be given to NIDA that research findings are about to be published so that we may coordinate accurate and timely release to the media. This information will be embargoed until the publication date. Please see the NIDA Special Considerations Page for guidance on coordination with the NIDA Press Office at <https://www.drugabuse.gov/funding/special-considerations-for-nida-funding>, or contact the NIDA Press Office at [media@nida.nih.gov](mailto:media@nida.nih.gov).

Please see Special Considerations for NIDA Funding Opportunities and Awards at <https://www.drugabuse.gov/funding/special-considerations-for-nida-funding>.

**SPREADSHEET SUMMARY****AWARD NUMBER:** 5UG1DA015815-22 REVISED**INSTITUTION:** OREGON HEALTH & SCIENCE UNIVERSITY

Budget	Year 22	Year 23
Salaries and Wages	\$222,379	\$201,547
Fringe Benefits	\$82,056	\$69,140
Personnel Costs (Subtotal)	\$304,435	\$270,687
Consultant Services	\$3,750	\$36,000
Materials & Supplies	\$2,600	
Travel	\$36,510	\$23,859
Other	\$1,200	
Subawards/Consortium/Contractual Costs	\$989,704	\$231,074
Publication Costs	\$2,000	\$2,000
TOTAL FEDERAL DC	\$1,340,199	\$563,620
TOTAL FEDERAL F&A	\$184,926	\$179,575
TOTAL COST	\$1,78,971	\$743,195

Facilities and Administrative Costs	Year 22	Year 23
F&A Cost Rate 1	54%	54%
F&A Cost Base 1	\$330,762	\$332,546
F&A Costs 1	\$178,611	\$179,575
F&A Cost Rate 2	32%	
F&A Cost Base 2	\$19,733	
F&A Costs 2	\$6,315	



**SAN FRANCISCO DEPARTMENT OF PUBLIC HEALTH**  
**Center for Public Health Research (CHPR)**  
**Western States Node of the National Drug Abuse Treatment Clinical Trials Network**  
*June 1, 2020 - Feb 29, 2024*

		Year 1 Project: 10036857 6/1/20 - 2/28/21	Year 2 Project: 10037496 3/1/21 - 2/28/22	Year 3 Project: 10036989 3/1/22 - 2/28/23	Year 4 Project: 10038085 3/1/23 - 2/29/24	Total Amount
	<b>Personnel -</b>					-
	Health Program Coordinator II	10,951	9,865	9,965	10,185	40,966
						-
	<b>Fringe benefits</b>	3,833	3,453	3,488	3,667	14,441
						-
	<b>Rent</b>	562	600	600		1,762
						-
	<b>Contractual</b>	11,012	11,012	11,012	11,012	44,048
						-
						-
	<b>Indirect Costs</b>	2,580	1,332	1,345	3,463	8,720
<b>Total</b>		<b>28,938</b>	<b>26,262</b>	<b>26,410</b>	<b>28,327</b>	<b>109,937</b>

San Francisco Department of Public Health (SFDPH)  
 Population Health Division – Center for Public Research  
 Western States Node of the National Drug Abuse Treatment Clinical Trials Network  
**BUDGET JUSTIFICATION**  
 June 1, 2020 to February 28, 2021

**A. PERSONNEL**  
**B. MANDATORY FRINGE**

1. 0.074 2232 – Senior Physician Specialist: Phillip Coffin  
 Annual Salary \$197,300 x 0.074 FTE for 9 months = \$10,951  
 Mandatory Fringe benefits (@ 35%) = \$3,833 \$14,784

Dr Coffin will work with the PIs to ensure the success of the next iteration of the Western States Node. Dr Coffin will complete all required forms, participate in regular calls, assist with the development of CTN concepts and protocols, and be prepared to act as a site in future CTN protocols.

Total Salaries	\$10,951
Total Fringe	\$3,833

**TOTAL PERSONNEL:** **\$14,784**

**C. TRAVEL** **\$0**

**D. EQUIPMENT** **\$0**

**E. SUPPLIES** **\$0**

**F. CONTRACTUAL** **\$11,012**

a. Salaries \$7,104

Position Title and Name	Annual	Time	Months	Amount Requested
Project Manager M. Martin	\$78,636	9%	12 months	\$7,104

Job Description: Project Manager (M. Martin) – Ms. Martin will monitor the budget, establish contracts in addition to managing FTEs, benefits, budget estimates, and monthly reports to assist with the execution of activities. These reports will be used to make staffing, space, and other logistically based decisions to ensure capacity, and to meet program requirements. Ms. Martin will collaborate with PHFE and SFDPH (Accounts Payable, Payroll, Human Resources, and Fiscal) on a regular basis to facilitate project activities.

b. Mandatory Fringe @ 37.18%	\$2,641
c. Consultant Costs	\$0
d. Equipment	\$0
e. Materials and Supplies	\$0
f. Travel Costs	\$0
g. Other Costs	\$0
h. Contractual	\$0
Total Direct Costs (Heluna Health)	\$9,745
i. Total Indirect (13% of Direct Costs)	\$1,267
Total Subcontract budget (Heluna Health)	\$11,012

<b>G. OTHER</b>	<b>\$562</b>
<b>TOTAL DIRECT COSTS</b>	<b>\$26,358</b>
<b>H. INDIRECT COSTS</b>	<b>\$2,580</b>
<b>TOTAL BUDGET:</b>	<b>\$28,938</b>

San Francisco Department of Public Health (SFDPH)  
Population Health Division – Center for Public Research  
Western States Node of the National Drug Abuse Treatment Clinical Trials Network

**BUDGET JUSTIFICATION**

March 1, 2021 to February 28, 2022

**A. PERSONNEL**

1. 0.05 2232 – Senior Physician Specialist: Albert Liu  
Annual Salary \$197,300 x 0.05 FTE for 12 months = \$9,865

**B. MANDATORY FRINGE**

2. Mandatory Fringe Benefits (@ 35%) = \$3,453

Total Salaries	\$9,865
Total Fringe	\$3,453

**TOTAL PERSONNEL: \$13,318**

**C. TRAVEL \$0**

**D. EQUIPMENT \$0**

**E. SUPPLIES \$0**

**F. CONTRACTUAL \$11,012**

**G. OTHER \$600**

**TOTAL DIRECT COSTS \$24,930**

**H. INDIRECT COSTS \$1,332**

**TOTAL BUDGET: \$26,262**

San Francisco Department of Public Health (SFDPH)  
Population Health Division – Center for Public Research  
Western States Node of the National Drug Abuse Treatment Clinical Trials Network

**BUDGET JUSTIFICATION**

March 1, 2022 to February 28, 2023

**A. PERSONNEL**

1. 0.05 2232 – Senior Physician Specialist: Phillip Coffin  
Annual Salary \$199,300 x 0.05 FTE for 12 months = \$9,965

**B. MANDATORY FRINGE**

2. Mandatory Fringe Benefits (@ 35%) = \$3,488

Total Salaries	\$9,965
Total Fringe	\$3,488

**TOTAL PERSONNEL: \$13,453**

**C. TRAVEL \$0**

**D. EQUIPMENT \$0**

**E. SUPPLIES \$0**

**F. CONTRACTUAL \$11,012**

**G. OTHER \$600**

**TOTAL DIRECT COSTS \$25,065**

**H. INDIRECT COSTS \$1,345**

**TOTAL BUDGET: \$26,410**

San Francisco Department of Public Health (SFDPH)  
Population Health Division – Center for Public Research  
Western States Node of the National Drug Abuse Treatment Clinical Trials Network

**BUDGET JUSTIFICATION**

March 1, 2023 to February 29, 2024

**A. PERSONNEL**

1. 0.05 2232 – Senior Physician Specialist: Albert Liu  
Annual Salary \$203,700 x 0.05 FTE for 12 months = \$10,185

**B. MANDATORY FRINGE**

2. Mandatory Fringe Benefits (@ 36%) = \$3,667

Total Salaries	\$10,185
Total Fringe	\$3,667

**TOTAL PERSONNEL: \$13,852**

**C. TRAVEL \$0**

**D. EQUIPMENT \$0**

**E. SUPPLIES \$0**

**F. CONTRACTUAL \$11,012**

**G. OTHER \$0**

**TOTAL DIRECT COSTS \$24,864**

**H. INDIRECT COSTS \$3,463**

**TOTAL BUDGET: \$28,327**



## San Francisco Department of Public Health

Grant Colfax, MD  
Director of Health

City and County of San Francisco  
London N. Breed  
Mayor

### Memorandum

**To:** Honorable Members of the Board of Supervisors

**From:** San Francisco Department of Public Health

**Date:** Thursday, September 7, 2023

**Re:** Accept and Expend Western States Node of the National Drug Abuse Treatment Clinical Trials Network

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This Resolution seeks authorization for the Department of Public Health to retroactively accept and expend funds in the amount of \$109,937 from the National Institutes of Health (NIH) through the Oregon Health & Science University. Due to the delay in receiving grantor approval for the budget draft, the review and approval from the Controller's office and the Mayor's office, we are requesting the accept and expend to be scheduled for the next Budget and Finance committee.

We humbly request retroactive authorization as we received the notice of award on April 3, 2023, for a project start date of March 1, 2023. When the notice of award was received on April 3, 2023, we had submitted the budget to the grantor for approval. After discussions with NIH on various budget details, we received budget approval from NIH on June 8, 2023. The accept and expend packet was packaged and forwarded to the Controller's office on June 8, 2023. After discussions with the Controller's office and forwarding previous approved accept and expend packets for this grant, the Controller's office approved the package and forwarded the signed package to the Mayor's office on July 21, 2023. Please contact Greg Wong, grants analyst, at [greg.wong@sfdph.org](mailto:greg.wong@sfdph.org) for any questions about this request for retroactive authorization.



**London N. Breed**  
**Mayor**

**TO:** Angela Calvillo, Clerk of the Board of Supervisors

**FROM:** Dr. Grant Colfax  
Director of Health

**DATE:** 9/7/2023

**SUBJECT:** Grant Accept and Expend

**GRANT TITLE:** Western States Node of the National Drug Abuse Treatment  
Clinical Trials Network - \$109,937

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Attached please find the original and 1 copy of each of the following:

- Proposed grant resolution, original signed by Department
- Grant information form, including disability checklist
- Budget and Budget Justification
- Grant application: Not Applicable. No application submitted.
- Agreement / Award Letter
- Other (Explain):

**Special Timeline Requirements:**

**Departmental representative to receive a copy of the adopted resolution:**

Name: Gregory Wong (greg.wong@sfdph.org) Phone: 554-2521

Interoffice Mail Address: Dept. of Public Health, 101 Grove St # 108

Certified copy required Yes

No

**From:** [Conine-Nakano, Susanna \(MYR\)](#)  
**To:** [BOS Legislation, \(BOS\)](#)  
**Cc:** [Paulino, Tom \(MYR\)](#); [Wong, Greg \(DPH\)](#); [Rana, Shalini \(DPH\)](#); [Tam, Madison \(BOS\)](#)  
**Subject:** Mayor -- Resolution -- NIH Western States Node of the National Drug Abuse Treatment Clinical Trials Network  
**Date:** Tuesday, September 5, 2023 4:42:55 PM  
**Attachments:** [NIH Western States Node of the National Drug Abuse Treatment Clinical Trial.zip](#)

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Hello Clerks,

Attached for introduction to the Board of Supervisors is a Resolution retroactively authorizing the Department of Public Health to accept and expend a grant increase from the National Institutes of Health through Oregon Health & Science University for participation in a program, entitled “Western States Node of the National Drug Abuse Treatment Clinical Trials Network,” in the amount of \$28,327 for the period of March 1, 2023, through February 29, 2024, for a total grant award amount of \$109,937 for the total period of June 1, 2020, through February 29, 2024.

Please note that Supervisor Dorsey is a co-sponsor of this legislation.

Best,  
Susanna

Susanna Conine-Nakano  
Office of Mayor London N. Breed  
City & County of San Francisco  
1 Dr. Carlton B. Goodlett Place, Room 200  
San Francisco, CA 94102  
415-554-6147