

1. DATE ISSUED (Mo./Day/Yr.) 09/25/2002 2. CFDA NO. 93.243

DEPARTMENT OF HEALTH AND HUMAN SERVICES
PUBLIC HEALTH SERVICE

SUBSTANCE ABUSE AND MENTAL HEALTH SERVICES ADMINISTRATION

3. SUPERSEDES AWARD NOTICE dated / / except that any additions or restrictions previously imposed remain in effect unless specifically rescinded.

4. GRANT NO. 1 H79 TI14581-01
Formerly:
5. ADMINISTRATIVE CODES
TI-H79 / TC-HIV

NOTICE OF GRANT AWARD

AUTHORIZATION (Legislation/Regulation)
Section 509 of the PHS Act
as amended
Awarded by CSAT

COPY FOR YOUR
INFORMATION

6. PROJECT PERIOD Mo./Day/Yr. Mo./Day/Yr.
From 09/30/2002 Through 09/29/2007

7. BUDGET PERIOD Mo./Day/Yr. Mo./Day/Yr.
From 09/30/2002 Through 09/29/2003

8. TITLE OF PROJECT (OR PROGRAM) (Limit to 56 spaces)
San Mateo County AIDS Program

9. GRANTEE NAME AND ADDRESS
a. San Mateo County Health Servs
b. 225 W 37th Avenue
c.
d. San Mateo e. CA f. 94403

10. DIRECTOR OF PROJECT (PROGRAM DIRECTOR/PRINCIPAL INVESTIGATOR) (LAST NAME FIRST AND ADDRESS)
Netherland, Lisa
San Mateo County Health Servs
225 W 37th Avenue
San Mateo, Ca 94403

11. APPROVED BUDGET (Excludes PHS Direct Assistance)

| | |
|---|------------|
| I PHS Grant Funds Only | |
| II Total project costs including grant funds and all other financial participation (Select one and place NUMERAL in box.) | I |
| a. Salaries and Wages | \$ 98,546 |
| b. Fringe Benefits | \$ 29,564 |
| c. Total Personnel Costs | \$ 128,110 |
| d. Consultant Costs | 0 |
| e. Equipment | 0 |
| f. Supplies | 6,250 |
| g. Travel | 5,120 |
| h. Patient Care - Inpatient | 0 |
| i. - Outpatient | 0 |
| j. Alterations and Renovations | 0 |
| k. Other | 6,156 |
| l. Consortium/Contractual Costs | 294,800 |
| m. Trainee Related Expenses | 0 |
| n. Trainee Stipends | 0 |
| o. Trainee Tuition and Fees | 0 |
| p. Trainee Travel | 0 |
| q. TOTAL DIRECT COSTS | \$ 440,436 |
| r. INDIRECT COSTS (Rate 10.00 % of 6&W/TADC) | \$ 9,855 |
| s. TOTAL APPROVED BUDGET | \$ 450,291 |
| t. SBIR Fee | \$ |
| u. Federal Share | \$ 450,291 |
| v. Non-Federal Share | \$ 0 |

12. AWARD COMPUTATION FOR FINANCIAL ASSISTANCE

| | |
|---|------------|
| e. Amount of PHS Financial Assistance (from item 11u) | \$ 450,291 |
| b. Less Unobligated Balance From Prior Budget Periods | \$ 0 |
| c. Less Cumulative Prior Award(s) This Budget Period | \$ 0 |
| d. AMOUNT OF FINANCIAL ASSISTANCE THIS ACTION | \$ 450,291 |

| | | | |
|---|-----------------------------------|-------|-----------------------------------|
| 13. RECOMMENDED FUTURE SUPPORT (SUBJECT TO THE AVAILABILITY OF FUNDS AND SATISFACTORY PROGRESS OF THE PROJECT): | | | |
| YEAR | TOTAL COSTS (DIRECT and INDIRECT) | YEAR | TOTAL COSTS (DIRECT and INDIRECT) |
| a. 02 | 480,518 | d. 05 | 493,977 |
| b. 03 | 484,872 | e. | |
| c. 04 | 489,357 | f. | |

| | |
|--|--------|
| 14. APPROVED DIRECT ASSISTANCE BUDGET (IN LIEU OF CASH): | |
| a. Amount of PHS Direct Assistance | \$ |
| b. Less Unobligated Balance From Prior Budget Periods | \$ |
| c. Less Cumulative Prior Award(s) This Budget Period | \$ |
| d. AMOUNT OF DIRECT ASSISTANCE THIS ACTION | \$ N/A |

| | |
|---|---|
| 15. PROGRAM INCOME SUBJECT TO 45 CFR PART 74, SUBPART F, OR 45 CFR 92.25, SHALL BE USED IN ACCORD WITH ONE OF THE FOLLOWING ALTERNATIVES: (Select One and Place LETTER in box.) | |
| a. DEDUCTION | |
| b. ADDITIONAL COSTS | |
| c. MATCHING | |
| d. OTHER RESEARCH (Add/Deduct Option) | B |
| e. OTHER (See REMARKS) | |

16. THIS AWARD IS BASED ON AN APPLICATION SUBMITTED TO, AND AS APPROVED BY, THE PHS 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 cited above. b. The grant program regulation cited above.
c. The award notice including terms and conditions, if any, noted below under REMARKS.
d. PHS Grants Policy Statement including addenda in effect as of the beginning date of the budget period.
e. 45 CFR Part 74 or 45 CFR Part 92 as applicable.
In the event there are conflicting or otherwise inconsistent policies applicable to the grant, the above order of precedence shall prevail. Acceptance of the grant terms and conditions is acknowledged by the grantee when funds are drawn or otherwise obtained from the grant payment system.

REMARKS: (Other Terms and Conditions Attached - Yes No)

Recommended future support (Line 13) reflects Total Cost (Direct + Indirect)
SEE ATTACHED TERMS AND CONDITIONS

GMS: Sample, Kathleen (301)443-9667 PO: Thompson, David C (301)443-6523

PHS GRANTS MANAGEMENT OFFICER (Signature) (Name-Typed/Print) (Title)
Hudak, Stephen J Grants Management Officer, OPS, SAMHSA

17. OBJ. CLASS. 41.45 18. CRS - EIN 1946005332A1 19. LIST NO:

| | | | | |
|-------------------------|----------------------------|------------------------|-------------------------------------|---------------------------|
| 20.a. FYCAN 2002C96T113 | b. DOCUMENT NO. H9TI14581A | c. ADMINISTRATIVE CODE | d. AMT. ACTION FIN. ASST. \$450,291 | e. AMT. ACTION DIR. ASST. |
| 21.a. | b. | c. | d. | e. |
| 22.a. | b. | c. | d. | e. |

TERMS AND CONDITIONS OF AWARD
PROGRAM: TCE-HIV
GRANT # 1 H79 TI14581 - 01

SPECIAL TERMS OF AWARD:

1. \$9,855 is restricted indirect costs which is 10% of salaries and wages until a negotiated indirect cost rate agreement is finalized and submitted to this office.
2. The amount of \$200 budget for **“additional incentives” in the Other line item category is restricted.** Grant funds **may not** be used to pay for incentives to induce clients to enter treatment.

STANDARD TERMS OF AWARD:

1. This grant is subject to the terms and conditions, included directly, or incorporated by reference on the Notice of Grant Award. Refer to the order of precedence in Block 16 on the Notice of Grant Award.
2. The grantee organization is legally and financially responsible for all aspects of this grant, including funds provided to sub-recipients.
3. Grants funds cannot be used to supplant current funding of existing activities.
4. The recommended future support as indicated on the Notice of Grant Awarded reflects TOTAL costs (direct plus indirect). Funding is subject to the availability of Federal funds, and that matching funds, (if applicable), is verifiable, progress of the grant is documented and acceptable.
5. By law, none of the funds awarded can be used to pay the salary of an individual at a rate in excess of the Executive Level I, which is \$166,700 annually.
6. “Confidentiality of Alcohol and Drug Abuse Patient Records” regulations (42CFR 2) are applicable to any information about alcohol and other drug abuse patients obtained by a “program” (42 CFR 2.11), if the program is federally assisted in any manner (42 CFR 2.12b).

Accordingly, all project patient records are confidential and may be disclosed and used only in accordance with (42 CFR 2). The grantee is responsible for assuring compliance with these regulations and principles, including responsibility for assuring the security and confidentiality of all electronically transmitted patient material.

7. Accounting Records and Disclosure - Awardees and sub-recipients must maintain records which adequately identify the source and application of funds provided for financially assisted activities. These records must contain information pertaining to grant or subgrant awards and

authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income. **The awardee, and all its sub-recipients, should expect that SAMHSA, or its designee, may conduct a financial compliance audit and on-site program review annually on grants with significant amounts of Federal funding.**

8. Per (45 CFR 92.34), (45 CFR 74.36) and the PHS Grants Policy Statement, any copyrighted or copyrightable works developed under this cooperative agreement/grant shall be subject to a royalty free, non-exclusive and irrevocable license to the government to reproduce, publish, or otherwise use them and to authorize others to do so for Federal Government purposes. Income earned from any copyrightable work developed under this grant must be used a program income.

9. A notice in response to the President's Welfare-to-Work Initiative was published in the Federal Register on May 16, 1997. This initiative is designed to facilitate and encourage grantees and their sub-recipients to hire welfare recipients and to provide additional needed training and/or mentoring as needed. The text of the notice is available electronically on the OMB home page at www.whitehouse.gov/wh/eop/omb.

10. The DHHS Appropriations Act requires that to the greatest extent practicable, all equipment and products purchased with funds made available under this award should be American made.

11. Program Income accrued under the award must be accounted for in accordance with (45CFR 74.24) or (45 CFR 92.25) as applicable. Program income must be reported on the Financial Status Report, Standard Form 269 (long form).

(a) for grantees (other than for-profit) program income accrued under this award may be used in accordance with the additional costs alternative described in (45 CFR 74.24(b)(1)) or (45 CFR 92.25(g)(2)) as applicable. Program income must be used to further the grant objectives and shall only be used for allowable costs as set forth in the applicable OMB administrative requirements.

(b) for grantees that are for -profit organizations, program income accrued under this award must be used in accordance with the deduction alternative described in (45 CFR 74.24(b)(3)).

12. Actions that require prior approval must be submitted in writing to the Grants Management Officer. The request must bear the signature of an authorized business official of the grantee organization as well as the project director. Approval of the request may only be granted by the SAMHSA Grants Management Officer and will be in writing. No other written or oral approval should be accepted and will not be binding on SAMHSA.

13. Any replacement of, or substantial reduction in effort of the Program Director (PD) or other key staff of the grantee or any of the sub-recipients requires the written **prior** approval of the Grants Management Officer (GMO). The GMO must approve the selection of the PD or other key personnel, if the individual being nominated for the position had not been named in the

approved application, or if a replacement is needed should the incumbent step down or be unable to execute the position's responsibilities. A resume for the individual(s) being nominated must be included with the request. Key staff (or key staff positions, if staff has not been selected) are listed below:

Lisa Netherland, Program Director @ 10% level of effort.

Leo Alcala, Project Coordinator @ 1.0% level of effort.

14. None of the Federal funds provided under this award shall be used to carry out any program for distributing sterile needles or syringes for the hypodermic injection of any illegal drug.

15. Refer to the back of the Notice of Grant Awarded for information regarding grant payment information (1) and the Health and Human Services Inspector General's Hotline for information concerning fraud, waste or abuse.

16. As the grantee organization, you acknowledge acceptance of the grant terms and conditions by drawing or otherwise obtaining funds from the Payment Management System. In doing so, your organization must ensure that you exercise prudent stewardship over Federal funds and that all costs are allowable, allocable and reasonable.

17. No DHHS funds may be paid as profit (fees) per (45 CFR Parts 74.81 and 92.22(2)).

18. RESTRICTIONS ON GRANTEE LOBBYING (Appropriations Act Section 503).

(a) No part of any appropriation contained in this Act shall be used, other than for normal and recognized executive-legislative relationships, for publicity or propaganda purposes, for the preparation, distribution, or use of any kit, pamphlet, booklet, publication, radio, television, or video presentation designed to support or defeat legislation pending before the Congress, except in presentation to the Congress itself or any State legislature, except in presentation to the Congress or any State legislature itself.

(b) No part of any appropriation contained in this Act shall be used to pay the salary or expenses of any grant or contract recipient, or agent acting for such recipient, related to any activity designed to influence legislation or appropriations pending before the Congress or any State legislature.

REPORTING REQUIREMENTS:

1. Financial Status Report, Standard Form 269 (long form) is due within 90 days after expiration of the budget period, and 90 days after the expiration of the project period. Disbursements reported on the Financial Status Report must equal/or agree with the Quarterly

and Final disbursements reported to the Payment Management System (PMS) on the Federal Cash Transaction Report (PMS-272).

2. Submission of programmatic Quarterly Reports is due no later than the dates as follows:

| | |
|---|---|
| 1 st Quarterly Report - January 31, 2003 | 2 nd Quarterly Report - April 30, 2003 |
| 3 rd Quarterly Report - July 31, 2003 | 4 th Quarterly Report - October 31, 2003 |

Additional information regarding this requirement will be provided at a later date by your project officer or their representative.

3. The grantee must comply with the GPRRA requirement that includes the collection and periodic reporting of performance data as specified in the GFA or by the Project Officer. This information is needed in order to comply with PL 102-62 which requires that SAMHSA report evaluation data to ensure the effectiveness and efficiency of its programs. (See attached).

4. Submission of audit reports in accordance with the procedures established in OMB Circular A-133 is required by the Single Audit Act Amendments of 1966 (P.L. 104-156). An audit is required for all entities which expend \$300,000 or more of Federal funds in each fiscal year and is due to the Clearinghouse within 30 days of receipt from the auditor or within nine (9) months of the fiscal year, whichever occurs first, to the following address:

Federal Audit Clearinghouse
Bureau of the Census
1201 E. 10th Street
Jeffersonville, IN 47132

Failure to comply with this requirement may result in DHHS sanctions placed against your organization, i.e., classification as high risk, placed on the departmental Alert List, conversion to a reimbursement method of payment, suspension or termination of award

HUMAN SUBJECTS:

Under governing regulations, Federal funds administered by the DHHS shall not be expended for, and individuals shall not be enrolled in research involving human subjects without prior approval by the Substance Abuse and Mental Health Administration of the project's procedures for protection of human subjects. This restriction applies to all Multiple Project Assurance grantee institutions and performance sites without human subjects certification. For institutions with a Single Project Assurance, but no certification at time of award, no funds may be expended or individuals enrolled in research without prior approval by the Office for Human Research Protection (OHRP) of an assurance to comply with the requirements of (45 CFR 46) to protect human research subjects.

INDIRECT COSTS:

1. Grantees that have never established indirect cost rates are required to submit an indirect cost proposal to the appropriate office **within 90 days from the start date of the project period** of the effective date of the award. If the grantee requests indirect cost reimbursement but does not have an approved rate agreement at the time of award, the grantee shall be limited to a provisional rate equaling one-half of the indirect costs requested, up to a maximum of 10 percent of salaries and wages.

Please contact the appropriate office of the Division of Cost Allocation to begin the process for establishing an indirect cost rate. A list of the offices was included with your application package, and on page 7 of the SAMHSA "Welcome Wagon" Notice - Information for New Grantees but may also be found on line through www.samhsa.gov then click "grant opportunities" then click "Welcome Wagon".

CONTACTS:

Grants Management Specialist:

Kathleen Sample
Address: See Below

Phone : (301) 443 9667
Fax : (301) 443 1358
E-mail : ksample@samhsa.gov

Federal Project Officer:

David Thompson
Systems Improvement Branch
Rockwall II Bldg., Suite 740
5600 Fishers Lane, Rockville, MD 20857
Phone : (301) 443 6523
Fax : (301) 443 3543
E-mail : dthompson@samhsa.gov

All responses to special terms and conditions of award and post award requests must be mailed to the Division of Grants Management below:

For Regular Delivery:

Division of Grants Management,
OPS, SAMHSA
Rockwall II Bldg., Suite 630
5600 Fishers Lane
Rockville, MD 20857

For Overnight or Direct Delivery:

Division of Grants Management,
OPS, SAMHSA
Rockwall II Bldg., Suite 630
5515 Security Lane
Rockville, MD 20852