

RAND COST REIMBURSABLE SUBAWARD AGREEMENT FROM FEDERAL GRANT AWARD	
PASS-THROUGH ENTITY (PTE): RAND Corporation PTE Principal Investigator (PI): Katherine E Watkins	SUBRECIPIENT: County of San Bernardino d/b/a Arrowhead Regional Medical Center Subrecipient PI: Louis Tran
PTE Federal Award No. ("Prime Award" or "FAIN") R01DA056588	RAND SUBAWARD NO.: SCON-00000611
Federal Awarding Agency: National Institute of Health (NIH)	
Project Title: Reducing Overdose and Suicide Risk in Individuals with OUD and Co-occurring Disorders	
Subaward Budget Period: Start: 01-Sep-2023 End: 31-Mar-2024	Amount Funded This Action (USD): \$6,805.00
Estimated Period of Performance (if incrementally funded): Start: 01-Sep-2023 End: 31-Mar-2028	Incrementally Estimated Total (USD): \$111,065.00
TERMS AND CONDITIONS	
<ol style="list-style-type: none"> 1) PTE hereby awards a cost reimbursable Subaward, as determined by 2 CFR 200.331, to Subrecipient. The Statement of Work and Budget for this Subaward are as shown in Attachments 5. In its performance of the 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, 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), breakdown by major cost category, Subaward number, and certification as required in 2 CFR 200.415(a). Invoices that do not reference PTE's 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 3. 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 3, not later than sixty (60) calendar days after the final Budget Period end date. The final statement of costs shall constitute Subrecipient's final financial report. 4) All payments shall be considered provisional and 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 Attachment 3. 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 Authorized Official, as shown in Attachment 3. Any such changes made to this Subaward requires the written approval of each party's Authorized Official as shown in Attachment 3. 7) PTE may issue non-substantive changes to the Budget Period(s) and Budget Unilaterally. Unilateral amendments shall be considered valid 14 calendar days after receipt unless otherwise indicated by Subrecipient when sent to the Subrecipients Authorized Official Contact, as shown in Attachment 3. 8) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or director's, to the extent allowed by law. 9) Each party may terminate this Subaward with 30 days written notice. Notwithstanding, if the Federal Awarding Agency terminates the Federal Award, PTE will terminate in accordance with Awarding Agency requirements. PTE notice shall be directed to each party's Authorized Official Contact, as shown in Attachment 3. 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) Both parties agree that they will endeavor to resolve any disputes arising from or related to this Subaward amicably through discussions with each other. Except as required by law, each party shall treat the existence of any dispute, negotiation or arbitration and details of all submissions, proceedings, and decisions related thereto as confidential and shall not disclose them to any third party or publicize them in any way. 11) The provisions of this agreement are severable, and if any provisions are determined to be invalid or unenforceable by a court of competent jurisdiction, the remaining provisions shall continue in full force and effect. <p>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 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 the intend this Subaward to comply with all applicable Federal, State and Local laws, rules, regulations, and requirements.</p>	
By an Authorized Official of PTE: <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;">Name: _____</div> <div style="width: 45%;">Date: _____</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 45%;">Title: _____</div> <div style="width: 45%;"></div> </div>	By an Authorized Official of SUBRECIPIENT: <div style="display: flex; justify-content: space-between; margin-top: 20px;"> <div style="width: 45%;">Name: _____</div> <div style="width: 45%;">Date: _____</div> </div> <div style="display: flex; justify-content: space-between; margin-top: 5px;"> <div style="width: 45%;">Title: _____</div> <div style="width: 45%;"></div> </div>

ATTACHMENT 1

CERTIFICATIONS AND ASSURANCES

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.

DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (2 CFR 200.214 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.

AUDIT AND ACCESS TO RECORDS

Subrecipient certifies that it will provide PTE with notice of any adverse findings which impact this Subaward.

Subrecipient certifies compliance with applicable provisions of 2 CFR 200.501-200.521. If Subrecipient is not required to have a Single Audit as defined by 200.501, Awarding Agency requirements, or the Single Audit Act, then Subrecipient will provide notice of the completion of any required audits and will provide access to such audits upon request.

Subrecipient will provide access to records as required by parts 2 CFR 200.337 and 200.338 as applicable.

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 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.

FLOWDOWN OF CERTIFICATIONS

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.

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.

PROHIBITION ON CERTAIN TELECOMMUNICATION AND VIDEO SURVEILLANCE SERVICES OR EQUIPMENT

Pursuant to 2 CFR 200.216, Subrecipient will not obligate or expend funds received under this Subaward to: (1) procure or obtain; (2) extend or renew a contract to procure or obtain; or (3) enter into a contract (or extend or renew a contract) to procure or obtain equipment, services, or systems that uses covered telecommunications equipment or services (as described in Public Law 115-232, section 889) as a substantial or essential component of any system, or as a critical technology as part of any system.

NOTICE OF RAND'S POLICY RELATED TO AFFIRMATIVE ACTION EFFORTS, EQUAL EMPLOYMENT, AND EQUAL OPPORTUNITY

The RAND Corporation is a federal contractor subject to Executive Order 11246, Section 4212 of the Vietnam Era Veterans' Readjustment Assistance Act of 1974, as amended, and Section 503 of the Rehabilitation Act of 1973, as amended. As such RAND is committed to taking positive steps to implement the employment-related aspects of the company's equal employment opportunity policy. It is the company's policy to take affirmative action to employ, advance in employment, and otherwise treat qualified applicants and employees without regard to their race, religion or creed, color, national origin or citizenship status', ancestry, physical disability, mental disability, medical condition, genetic information, marital status, sex (including pregnancy; childbirth; and medical conditions related to pregnancy, childbirth, or breastfeeding), sexual orientation, gender, gender identity, gender expression, age over 40 years, military or veteran status, or any other legally protected condition or characteristic.

Pursuant to 41 CFR §60-300.44(f)(1)(ii) and 741.44(f)(1)(ii), we hereby notify you of our company policy related to our affirmative action efforts and request appropriate action on your part.

If applicable, the parties hereby incorporate the requirements of 41 CFR §60 1.4(a)(7), and 29 CFR Part 471, Appendix A to Subpart A.

If applicable, this contractor and subcontractor shall also abide by the requirements of 41 CFR §60 300.5(a) and 41 CFR §60 741.5(a). These regulations prohibit discrimination against qualified protected veterans and qualified individuals on the basis of disability, and requires affirmative action by covered prime contractors and subcontractors to employ and advance in employment qualified protected veterans and individuals with disabilities.

SUBRECIPIENT INSURANCE REQUIREMENTS

Subrecipient represents that it carries sufficient insurance coverage to comply with the applicable requirements of federal, state and local laws as well as its obligations under this Subaward.

PUBLICATIONS

Each party shall have the right to publish and disseminate information derived from the performance of work under this Agreement in accordance with the Federal Awarding Agency's policies and any additional restrictions stated (if applicable) in Attachment 2.

All authors contributing to a RAND led publications and/or presentations must adhere to RAND's Standards for High-Quality Research and Analysis (found at <https://www.rand.org/about/standards.html>) and be responsive to the RAND Quality Assurance review and satisfy its conditions prior to submission or release. "Publications" refers to literature reviews, technical publications, journal articles and any other types of publications. "Presentations" refers to delivering of speeches or papers at conferences, symposiums, etc.

ELECTRONIC SIGNATURE

This Agreement (Agreement) may be executed in any number of counterparts, each of which so executed shall be deemed to be an original, and such counterparts shall together constitute one and the same Agreement. The parties shall be entitled to sign and transmit an electronic signature of this Agreement (whether by facsimile, PDF or other email transmission), which signature shall be binding on the party whose name is contained therein. Each party providing an electronic signature agrees to promptly execute and deliver to the other party an original signed Agreement upon request.

(end of section)

ATTACHMENT 2

FEDERAL AWARD TERMS CONDITIONS

REQUIRED DATA ELEMENTS:

The data elements required by 2 CFR 200 are incorporated as entered in this Attachment 2 due to PTE not incorporating the NOA as part of this Subaward.

Awarding Agency Institute (If Applicable): **DHHS/NIH/National Institute on Drug Abuse**

Federal Award Issue Date: 07-June-2023

FAIN: R01DA056588

Assistance Listing No.: 93.279

Assistance Listing Program Title (ALPT): Drug Abuse and Addiction Research Programs

THIS SUBAWARD IS:

Research & Development: YES

Subject to FFATA: YES

KEY PERSONNEL PER NOA:

Dr. Kate Watkins (RAND Corporation), Dr. Mariah Kalmin (RAND Corporation), Dr. Andrew Herring (Highland Hospital – Alameda Health System)

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: **NIH at <http://grants.nih.gov/policy/notices.htm>**
- 2) 2 CFR 200 **and 45 CFR Part 75 (DHHS)**
- 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: **NIH at <http://grants.nih.gov/grants/policy/nihgps/nihgps.pdf>**
- 4) Research Terms and Conditions, including any Federal Awarding Agency's Specific Requirements found at: **<https://www.nsf.gov/awards/managing/rtc.jsp>**
 - a) No-cost extensions require the written approval of the PTE. Any requests for a no-cost extension shall be directed to the Authorized Official Contact shown in Attachment 3, 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 200.1 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, not less than 30 days prior to the desired effective date of the requested change.
- 5) Treatment of program income: Additive.

SPECIAL TERMS AND CONDITIONS

Data Sharing and Access:

Subrecipient agrees to comply with the Federal Awarding Agency's data sharing and/or access requirements as reflected in the NOA or the Federal Awarding Agency's standard terms and conditions as referenced in General Terms and Conditions 1-4 above.

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.

Copyrights:

Subrecipient grants 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.

Promoting Objectivity in Research (COI) – Select One:

- ☐ Subrecipient hereby certifies it has implemented and is enforcing a written policy of financial conflict of interest compliant with the Public Health Service (PHS) provisions of 42 CFR Part 50 Subpart F and 45 CFR Part 94. All individuals responsible for the design, conduct or reporting of research for the proposal have made the required disclosures to the Subrecipient's institutional official in accordance with the Subrecipient's policy, and Subrecipient agrees to forward information about financial conflicts of interest to RAND for reporting to the PHS as required by the regulations.

- ☐ Subrecipient hereby certifies it has implemented and is enforcing a written policy of financial conflict of interest compliant with the National Science Foundation's (NSF) policy (NSF - NSF PAPPG Chapter IX.A) on Conflict of Interest and all individuals responsible for the design, conduct or reporting of research for the proposal have made the required disclosures. All required reports and disclosures have been made to the Subrecipient's Institutional Official in accordance with the Subrecipient's policy.
- ☒ Subrecipient has NOT implemented a written policy of financial conflict of interest compliant with PHS provisions of 42 CFR Part 50 Subpart F and 45 CFR Part 94 or NSF's Policy, as applicable. Subrecipient shall be subject to RAND's Conflict of Interest policy and disclosure requirements.

Subrecipient shall report any financial conflict of interest to RAND's Administrative Contact, as shown in Attachment 3. Any financial conflicts of interest identified shall subsequently be reported to federal awarding agency, as applicable. Such report shall be made before expenditure of funds authorized in this Subaward and within 45 calendar days of any subsequently identified financial conflict of interest.

NIH Terms and Conditions

Clinical Trial Indicator

The Clinical Trial Indicator in Section IV of the PTE's NOA is stated as: **YES - The work being conducted by this Subrecipient per this subaward is a clinical trial.**

Multiple PIs (MPI):

NO, this subaward is not subject to an MPI Leadership Plan.

Certificate of Confidentiality:

The Parties agree that this research funded in whole or in part by the National Institutes of Health ("NIH"), is subject to NIH Policy NOT-OD-17-109 (the "Policy") and therefore is deemed under the Policy to be issued a Certificate of Confidentiality ("Certificate") should the conditions outlined within the Policy apply. Accordingly, the subrecipients who collect or receive identifiable, sensitive information is required to adhere to the Policy and protect the privacy of individuals who are subjects of such research in accordance with the Policy and subsection 301(d) of the Public Health Service Act (the "PHS Act").

ADDITIONAL TERMS

- 1) No property may be purchased by the Subrecipient under this Subaward without prior approval from the PTE.
- 2) **FY2023 FUNDING**
The award amount for the current year is based upon IRG/Council recommendations, cost analysis, program priorities and availability of funds.
- 3) **BUDGET PERIOD**
This award is funded at the recommended level adjusted to a 9.5-month budget period. Future year anniversary dates for this grant will be April 1 and the Research Performance Progress Report (RPPR) is due on February 15.
- 4) **MULTIPLE PI**
The following principal investigators (PIs) are associated with this project:
 - Dr. K. Watkins, Rand Corporation
 - Dr. M. Kalmin, Rand Corporation
 - Dr. A. Herring, Highland Hospital - Alameda Health System

Dr. Watkins is the contact PI for correspondence purposes. As this grant has multiple 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>.
- 5) **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. Therefore, this budget period and/or future budgeted years are adjusted accordingly, if applicable. Current salary cap levels can be found at the following URL: http://grants2.nih.gov/grants/policy/salcap_summary.htm.
- 6) **DATA AND SAFETY MONITORING PLAN**
This award is subject to the Data and Safety Monitoring Plan (DSMP) submitted and approved by NIDA via application dated 07/01/22. Any changes in the DSMP must be reviewed and approved by the NIDA Program Official. If changes are approved, the approval will be reflected on the Notice of Award (NoA) via revision. If changes are not approved, the Principal Investigator must revise the DSMP to the satisfaction of the NIDA Program Official. The Principal Investigator must provide a DSMP for any new trial that is to be conducted under this grant.
- 7) **DATA AND SAFETY MONITORING BOARD**
This award is subject to the [NIDA Guidelines for Establishing and Operating a Data and Safety Monitoring Board](#).
- 8) **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.

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

(end of section)

ATTACHMENT 3

SUBAWARD AGREEMENT CONTACTS

PASS-THROUGH ENTITY (PTE) INFORMATION	
Entity's Legal Name: The RAND Corporation Legal Address: 1776 Main Street, PO Box 2138, Santa Monica, CA 90407-2138 Website: www.rand.org Institution Type: Non-Profit Organization UEI: YY46Q97AEZA8 DUNS: 00-691-4071	
PTE CONTACTS	
CENTRAL EMAIL: SUBCONTRACTS@rand.org Principal Investigator Name: Katherine Watkins, MD Telephone: 310.393.0411 E-Mail: kwatkins@rand.org Administrative Contact Name: Nancy Su, Subaward Administrator - CGPS Telephone: 310.393.0411 E-Mail: subcontracts@rand.org Financial Contact Name: CGPS Subaward Team All Invoices To Be Submitted Electronically via Email To: SUBINVOICES@rand.org Authorized Official Name: Samantha Cogbill, Senior Manager, Procurement & Compliance-CGPS Telephone: 310.393.0411 Ext 7898 Via Central Email: SUBCONTRACTS@rand.org	
SUBRECIPIENT INFORMATION	
Entity's UEI/DUNS Name: County of San Bernardino Institution Type: County/City/Township Government Agency Are you currently registered in SAM.gov? Yes, we have an active SAM.gov account EIN: 956002748 UEI: S38WJACVEL61 Parent UEI/DUNS: 075100599 INFORMATION FOR FFATA REPORTING (<i>visit https://www.frsr.gov/ for more information on this requirement</i>): Is your Entity exempt from reporting executive compensation: Yes, we are exempt from executive compensation reporting. Place of Performance Information for FFATA Reporting Physical Address, City, State (If US) and Country: 400 N. Pepper Ave. Colton CA 92324 <i>For U.S. Entities Only – Performance Congressional District: CA-31 Performance Zip Code + 4: 92324-1819</i>	
SUBRECIPIENT CONTACTS	
CENTRAL EMAIL: gme@armc.sbcounty.gov Website: www.arrowheadregional.org Principal Investigator Name: Louis Tran Title/Dept: Physician – Emergency Medicine Telephone: 949-285-6333 E-Mail: tranlo@armc.sbcounty.gov Administrative Contact Name: Gregory Young Title/Dept: Interim Healthcare Program Administrator - ORG Telephone: 909-580-6133 E-Mail: younggr@armc.sbcounty.gov Financial Contact Name: Gregory Young Title/Dept: Interim Healthcare Program Administrator - ORG Telephone: 909-580-6133 E-Mail: younggr@armc.sbcounty.gov Payment Address (if different from legal address): Invoice/Payment Email: younggr@armc.sbcounty.gov Authorized Official Name: William Gilbert Title/Dept: Hospital Director Telephone: 909-580-6150 E-Mail: gilbertw@armc.sbcounty.gov Legal Address: 400 N. Pepper Ave. Colton CA 92324 Administrative Address: 400 N. Pepper Ave. Colton CA 92324 Payment Address: 400 N. Pepper Ave. Colton CA 92324	

(end of section)

ATTACHMENT 4

REPORTING AND PRIOR APPROVAL TERMS

Subrecipient agrees to submit the following reports (PTE contacts are identified in Attachment 3). Failure of the Subcontractor to adhere to any of the required reporting requirements checked above may be considered noncompliance and result in RAND taking enforcement action against noncompliant subcontractors as described in 2 CFR 200.339-Remedies For Noncompliance.

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 60 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 to satisfy its reporting obligations to the Federal Awarding Agency.

PRIOR APPROVALS

- ☒ Carryover is automatic.
- ☐ Carryover is restricted for this subaward by the (Federal Awarding Agency / PTE). Subrecipient is to submit all carryover requests to the PTE Administrative Contact.
- ☐ Any re-budgeting between budget categories requires the written approval of the PTE. All requests for re-budgeting shall be directed to the PTE Administrative Contact.

ADMINISTRATIVE/FINANCIAL REPORTING REQUIREMENTS

- ☐ All invoices must be submitted to the PTE Financial Contact with the backup documentation selected below. Failure to provide this documentation will result in the invoice being declared invalid and will be returned to the Subrecipient:
 - ☐ General ledger (GL) listing from Subrecipient's accounting system for all invoiced incurred costs
 - ☐ Detailed backup documentation for all invoiced incurred costs (i.e.: copies of all relevant invoices)
- ☐ Each invoice must be accompanied by a brief technical report, and: (i) be sequentially numbered; (ii) indicate the date(s) of performance by the Subrecipient; (iii) state the Purchase Order number, the title of the project and the name of the PTE Principal Investigator; (iv) itemize costs in detail, in accordance with the Subaward budget; (v) include both current costs and cumulative costs; (vi) include the Subrecipient certification, with authorized official's signature, that costs are appropriate and accurate and that payment has not yet been received; and (vii)) be supported by a general ledger report originating directly from the Subrecipient's financial record keeping system. PTE may request supporting documentation in certain categories prior to or subsequent to approving the invoice. Supporting documentation includes, but is not limited to, travel receipts, purchase orders, invoices for services or supplies, or time records, Property Inventory Report; frequency, type, and submission instructions listed here and only to be used when required by PTE Federal Award.

OTHER REPORTS:

- ☐ In accordance with 37 CFR 401.14, Subrecipient agrees to notify both the Federal Awarding Agency via iEdison and PTE's Administrative Contact within 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 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:

(end of section)

ATTACHMENT 5

STATEMENT OF WORK, COST SHARING, INDIRECTS & BUDGET

STATEMENT OF WORK

Dr. Louis Tran, site PI will:

- i. Providing clinical and administrative oversight
- ii. Act as a liaison between the study leadership and site clinical staff.
- iii. Serve as an advocate for their organization and assist in study implementation.
- iv. Participate in coordinating meetings between study leadership and clinic staff and promote active participation in the study by clinic staff.
- v. Engage in problem-solving to address challenges that arise during the study, and if unable to resolve these problems, will refer them to study leadership to address.
- vi. Provide clinical support to and administrative oversight of the SUN(s)
- vii. When study participants are randomized to conditions that involve the ED-based interim treatment team, the site PI and SUN will participate in a weekly interim treatment team meeting (1-2 hours) with or without a mental health prescribing provider.

BUDGET INFORMATION

SUBRECIPIENT INDIRECT COST RATE

Indirect Cost Rate (IDC) Rate Applied to this Budget Total 10.00%

IDC Rate Type: Modified Total Direct Costs (MTDC)

COST SHARING

Cost sharing included: NO. If YES, cost share commitment: N/A

SUBAWARD BUDGET DETAILS

NOTE: Subrecipient may incur obligations and expenditures to cover costs between the start of the period of performance and the issuance of this Subaward, if such costs are necessary to conduct the project, and would be allowable under the approved budget as stated in the Federal Awarding Agency policies.

Attached is the full detailed budget for all budget years, 1 pages. The Subaward budget amount includes all applicable Federal, State and Local taxes and duties.

AWARDED FUNDING THIS ACTION	
BUDGET TOTALS (all amounts in US Dollars)	
Direct Costs	6,186.00
Indirect Costs	619.00
TOTAL COSTS	\$ 6,805.00

BRIDGE R01 Study Budget Draft

Title: Reducing Overdose and Suicide Risk in Individuals with OUD and Co-occurring Disorders

Arrowhead Regional Medical Center (ARMC)			Year 1 - (09/01/23-03/31/23) (7 months)			Year 2 (04/01/2024 - 03/31/2025)			Year 3 (04/01/2025 - 03/31/2026)			Year 4 (04/01/2026 - 03/31/2027)			Total
Personnel	Role	Salary	Months	Effort	Salary/Cost	Months	Effort	Salary/Cost	Months	Effort	Salary/Cost	Months	Effort	Salary/Cost	Cost
Louis Tran	Sub-PI	\$212,100	0.60	58%	\$6,186	0.30	100%	\$5,462	0.30	100%	\$5,625	0.30	100%	\$5,794	\$23,067
Ed Pillar	Co-I	\$212,100				0.15	100%	\$2,731	0.30	100%	\$5,625	0.20	100%	\$3,863	\$12,219
TBD	Navigator	\$85,000	0.00			3.00	100%	\$21,250	3.00	100%	\$21,888	3.00	100%	\$22,544	\$65,682
Total Salary					\$6,186			\$29,443			\$33,138			\$32,201	\$100,968
Fringe Rate			0.00%		\$0	0.00%		\$0	0.00%		\$0	0.00%		\$0	\$0
Sub-Total					\$6,186			\$29,443			\$33,138			\$32,201	\$100,968
Total Direct Costs					\$6,186			\$29,443			\$33,138			\$32,201	\$100,968
Indirect Costs	MTDC	10%			\$619			\$2,944			\$3,314			\$3,220	\$10,097
Total Costs					\$6,805			\$32,387			\$36,452			\$35,421	\$111,065