



<p>Recipient Information</p> <p>1. Recipient Name KAISER FOUNDATION HOSPITALS 1800 HARRISON ST FL 16 OAKLAND, CA 94612</p> <p>2. Congressional District of Recipient 12</p> <p>3. Payment System Identifier (ID) 1941105628A1</p> <p>4. Employer Identification Number (EIN) 941105628</p> <p>5. Data Universal Numbering System (DUNS) 150829349</p> <p>6. Recipient's Unique Entity Identifier P1RTMASB37B5</p> <p>7. Project Director or Principal Investigator GREGORY E. SIMON, MD Senior Investigator And Psychiatrist gregory.e.simon@kp.org 206-287-2979</p> <p>8. Authorized Official CAROL CONLEY SATHER Carol.C.Sather@kp.org 206-287-2826</p>	<p>Federal Award Information</p> <p>11. Award Number 3U19MH121738-05S1</p> <p>12. Unique Federal Award Identification Number (FAIN) U19MH121738</p> <p>13. Statutory Authority 42 USC 241 31 USC 6305 42 CFR 52</p> <p>14. Federal Award Project Title Whose Depression Are We Measuring?: Considering the role of place on Black women's depression outcomes</p> <p>15. Assistance Listing Number 93.242</p> <p>16. Assistance Listing Program Title Mental Health Research Grants</p> <p>17. Award Action Type Supplement</p> <p>18. Is the Award R&D? Yes</p>																								
<p>Federal Agency Information</p> <p>9. Awarding Agency Contact Information Julie M. Bergerud Grants Management Officer NATIONAL INSTITUTE OF MENTAL HEALTH julie.bergerud@nih.gov 301-827-6184</p> <p>10. Program Official Contact Information Michael Freed Health Scientist Administrator NATIONAL INSTITUTE OF MENTAL HEALTH michael.freed@nih.gov 301-443-3747</p>	<p>Summary Federal Award Financial Information</p> <table border="1"> <tr> <td colspan="2">19. Budget Period Start Date 07/01/2023 – End Date 06/30/2024</td> </tr> <tr> <td>20. Total Amount of Federal Funds Obligated by this Action</td> <td style="text-align: right;">\$217,372</td> </tr> <tr> <td> 20 a. Direct Cost Amount</td> <td style="text-align: right;">\$217,372</td> </tr> <tr> <td> 20 b. Indirect Cost Amount</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>21. Authorized Carryover</td> <td></td> </tr> <tr> <td>22. Offset</td> <td></td> </tr> <tr> <td>23. Total Amount of Federal Funds Obligated this budget period</td> <td style="text-align: right;">\$217,372</td> </tr> <tr> <td>24. Total Approved Cost Sharing or Matching, where applicable</td> <td style="text-align: right;">\$0</td> </tr> <tr> <td>25. Total Federal and Non-Federal Approved this Budget Period</td> <td style="text-align: right;">\$217,372</td> </tr> <tr> <td colspan="2" style="text-align: center;">-----</td> </tr> <tr> <td colspan="2">26. Project Period Start Date 09/23/2019 – End Date 06/30/2024</td> </tr> <tr> <td>27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period</td> <td style="text-align: right;">\$10,586,813</td> </tr> </table> <p>28. Authorized Treatment of Program Income Additional Costs</p> <p>29. Grants Management Officer - Signature Tamara A. Kees</p>	19. Budget Period Start Date 07/01/2023 – End Date 06/30/2024		20. Total Amount of Federal Funds Obligated by this Action	\$217,372	20 a. Direct Cost Amount	\$217,372	20 b. Indirect Cost Amount	\$0	21. Authorized Carryover		22. Offset		23. Total Amount of Federal Funds Obligated this budget period	\$217,372	24. Total Approved Cost Sharing or Matching, where applicable	\$0	25. Total Federal and Non-Federal Approved this Budget Period	\$217,372	-----		26. Project Period Start Date 09/23/2019 – End Date 06/30/2024		27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$10,586,813
19. Budget Period Start Date 07/01/2023 – End Date 06/30/2024																									
20. Total Amount of Federal Funds Obligated by this Action	\$217,372																								
20 a. Direct Cost Amount	\$217,372																								
20 b. Indirect Cost Amount	\$0																								
21. Authorized Carryover																									
22. Offset																									
23. Total Amount of Federal Funds Obligated this budget period	\$217,372																								
24. Total Approved Cost Sharing or Matching, where applicable	\$0																								
25. Total Federal and Non-Federal Approved this Budget Period	\$217,372																								

26. Project Period Start Date 09/23/2019 – End Date 06/30/2024																									
27. Total Amount of the Federal Award including Approved Cost Sharing or Matching this Project Period	\$10,586,813																								
<p>30. Remarks</p> <p>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.</p>																									



RESEARCH PROJECT COOPERATIVE AGREEMENT
Department of Health and Human Services
National Institutes of Health

Notice of Award



NATIONAL INSTITUTE OF MENTAL HEALTH

SECTION I – AWARD DATA – 3U19MH121738-05S1

Principal Investigator(s):

GREGORY E. SIMON, MD

Award e-mailed to: KFRI-ResearchAwards@kp.org

Dear Authorized Official:

The National Institutes of Health hereby awards a grant in the amount of \$217,372 (see “Award Calculation” in Section I and “Terms and Conditions” in Section III) to KAISER FOUNDATION RESEARCH INSTITUTE 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 Of Mental Health of the National Institutes of Health under Award Number U19MH121738. 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,

Tamara A. Kees
Grants Management Officer
NATIONAL INSTITUTE OF MENTAL HEALTH

Additional information follows

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

Subawards/Consortium/Contractual Costs	\$217,372
Federal Direct Costs	\$217,372
Approved Budget	\$217,372
Total Amount of Federal Funds Authorized (Federal Share)	\$217,372
TOTAL FEDERAL AWARD AMOUNT	\$217,372
AMOUNT OF THIS ACTION (FEDERAL SHARE)	\$217,372

SUMMARY TOTAL FEDERAL AWARD AMOUNT YEAR (5) (for this Document Number)	
AWARD NUMBER	TOTAL FEDERAL AWARD AMOUNT
3U19MH121738-05S1	\$217,372
5U19MH121738-05	\$1,559,627
TOTAL	\$1,776,999

SUMMARY TOTALS FOR ALL YEARS (for this Document Number)		
YR	THIS AWARD	CUMULATIVE TOTALS
5	\$217,372	\$1,776,999

Fiscal Information:

Payment System Identifier: 1941105628A1
Document Number: UMH121738A
PMS Account Type: P (Subaccount)
Fiscal Year: 2023

IC	CAN	2023
MH	8473265	\$217,372

NIH Administrative Data:

PCC: 82-SE / **OC:** 41028 / **Released:** Kees, Tamara 09/13/2023
Award Processed: 09/14/2023 12:25:56 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 3U19MH121738-05S1

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 – 3U19MH121738-05S1

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).

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 obtain a unique entity identifier (UEI) and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a UEI 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) U19MH121738. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

Based on the project period start date of this project, this award is likely subject to the Transparency Act subaward and executive compensation reporting requirement of 2 CFR Part 170. There are conditions that may exclude this award; see <http://grants.nih.gov/grants/policy/awardconditions.htm> for additional award applicability information.

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/

This award represents the final year of the competitive segment for this grant. See the NIH Grants Policy Statement Section 8.6 Closeout for complete closeout requirements at: <http://grants.nih.gov/grants/policy/policy.htm#gps>.

A final expenditure Federal Financial Report (FFR) (SF 425) must be submitted through the eRA Commons (Commons) within 120 days of the period of performance end date; see the NIH Grants Policy Statement Section 8.6.1 Financial Reports, <http://grants.nih.gov/grants/policy/policy.htm#gps>, for additional information on this submission requirement. The final FFR must indicate the exact balance of unobligated funds and may not reflect any unliquidated obligations. There must be no discrepancies between the final FFR expenditure data and the Payment Management System's (PMS) quarterly cash transaction data. A final quarterly federal cash transaction report is not required for awards in PMS B subaccounts (i.e., awards to foreign entities and to Federal agencies). NIH will close the awards using the last recorded cash drawdown level in PMS for awards that do not require a final FFR on expenditures or quarterly federal cash transaction reporting. It is important to note that for financial closeout, if a grantee fails to submit a

required final expenditure FFR, NIH will close the grant using the last recorded cash drawdown level. If the grantee submits a final expenditure FFR but does not reconcile any discrepancies between expenditures reported on the final expenditure FFR and the last cash report to PMS, NIH will close the award at the lower amount. This could be considered a debt or result in disallowed costs.

A Final Invention Statement and Certification form (HHS 568), (not applicable to training, construction, conference or cancer education grants) must be submitted within 120 days of the expiration date. The HHS 568 form may be downloaded at: <http://grants.nih.gov/grants/forms.htm>. This paragraph does not apply to Training grants, Fellowships, and certain other programs—i.e., activity codes C06, D42, D43, D71, DP7, G07, G08, G11, K12, K16, K30, P09, P40, P41, P51, R13, R25, R28, R30, R90, RL5, RL9, S10, S14, S15, U13, U14, U41, U42, U45, UC6, UC7, UR2, X01, X02.

Unless an application for competitive renewal is submitted, a Final Research Performance Progress Report (Final RPPR) must also be submitted within 120 days of the period of performance end date. If a competitive renewal application is submitted prior to that date, then an Interim RPPR must be submitted by that date as well. Instructions for preparing an Interim or Final RPPR are at: https://grants.nih.gov/grants/rppr/rppr_instruction_guide.pdf. Any other specific requirements set forth in the terms and conditions of the award must also be addressed in the Interim or Final RPPR. *Note that data reported within Section I of the Interim and Final RPPR forms will be made public and should be written for a lay person audience.*

NIH strongly encourages electronic submission of the final invention statement through the Closeout feature in the Commons, but will accept an email or hard copy submission as indicated below.

Email: The final invention statement may be e-mailed as PDF attachments to: NIHCloseoutCenter@mail.nih.gov.

Hard copy: Paper submissions of the final invention statement may be faxed to the NIH Division of Central Grants Processing, Grants Closeout Center, at 301-480-2304, or mailed to:

National Institutes of Health
Office of Extramural Research
Division of Central Grants Processing
Grants Closeout Center
6705 Rockledge Drive
Suite 5016, MSC 7986
Bethesda, MD 20892-7986 (for regular or U.S. Postal Service Express mail)
Bethesda, MD 20817 (for other courier/express deliveries only)

NOTE: If this is the final year of a competitive segment due to the transfer of the grant to another institution, then a Final RPPR is not required. However, a final expenditure FFR is required and should be submitted electronically as noted above. If not already submitted, the Final Invention Statement is required and should be sent directly to the assigned Grants Management Specialist.

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 (FAPIS)). 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

SECTION IV – MH SPECIFIC AWARD CONDITIONS – 3U19MH121738-05S1

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.

RESTRICTION - SUPPLEMENT TO PROMOTE DIVERSITY:

This award provides support under the Research Supplements to Promote Diversity in Health-Related Research Program for **Kanetha B. Wilson** beginning 7/1/2023.

These funds (\$217,372 Direct Costs and \$0 Facilities and Administrative Costs) are restricted for the above purpose only and may not be transferred to any other individual. Funds carried over will remain restricted for the stated purpose only. Any remaining balance of the restricted funds must be specifically identified on the Federal Financial Report (if applicable).

In future years, a separate progress report for the Research Supplement to Promote Diversity in Health-Related Research is required as part of the progress report of the parent grant. In addition, unless this award is included under the Streamlined Noncompeting Award Process (SNAP), a detailed budget page must be submitted.

DATA AND SAFETY MONITORING:

This grant is expected to involve a Data and Safety Monitoring Board (DSMB). The recipient and Principal Investigator(s) should review the [NIMH Policy Governing Independent Safety Monitors and Independent Data and Safety Monitoring Boards](#) cited in NOT-MH-19-027. Each RPPR submitted should include copies of all DSMB reports in RPPR Section G.1 since the last annual award. The recipient is also reminded of required reporting pursuant to NIHGPS 4.1.15.3 and the [NIMH Reportable Events Policy](#) cited in NOT-MH-19-027, as appropriate.

SPREADSHEET SUMMARY

AWARD NUMBER: 3U19MH121738-05S1

INSTITUTION: KAISER FOUNDATION RESEARCH INSTITUTE

Budget	Year 5
Subawards/Consortium/Contractual Costs	\$217,372
TOTAL FEDERAL DC	\$217,372
TOTAL FEDERAL F&A	\$0
TOTAL COST	\$217,372