



RESEARCH  
Department of Health and Human Services

## NOTICE OF AWARD

Federal Award Date: 10/19/2017



AGENCY FOR HEALTHCARE RESEARCH AND QUALITY

**Grant Number:** 1R01HS025198-01A1 REVISED  
**FAIN:** R01HS025198

**Principal Investigator:**  
NATHALIE MOISE, MD

**Project Title:** TRANSFORM DEPCARE: A Theoretical approach to improving patient engagement and shared decision making for minorities in collaborative depression care

XIOMARA PEREZ-BETANCES  
COLUMBIA UNIVERSITY HEALTH SCIENCES  
630 West 168th Street, Box 49  
New York, NY 100323702

**Award e-mailed to:** grants-office@columbia.edu

**Period of Performance:**  
**Budget Period:** 09/30/2017 – 07/31/2018  
**Project Period:** 09/30/2017 – 07/31/2022

Dear Business Official:

The Agency for Healthcare Research and Quality hereby revises this award (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to COLUMBIA UNIVERSITY HEALTH SCIENCES in support of the above referenced project. This award is pursuant to the authority of 42 USC 299a 42 CFR 67, PL 101-239 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.

All Program Directors/Principal Investigators of research projects supported by grants from the Agency for Healthcare Research and Quality are expected to make their research results promptly and widely available to the health professions, public administrators, and the scientific community.

All published reports, both formal and informal, should acknowledge grant support with the following footnote: "This project was supported by grant number R01HS025198 from the Agency for Healthcare Research and Quality. The content is solely the responsibility of the authors and does not necessarily represent the official views of the Agency for Healthcare Research and Quality." When a manuscript resulting from this grant is accepted for publication, the principal investigator must promptly notify the project officer of its acceptance and the date it is scheduled to be published.

Award recipients are also responsible for reporting inventions derived or reduced to practice in the performance of work under this grant. For additional information, please visit <http://www.iedison.gov>.

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

Sincerely,

Michelle Burr  
Grants Management Officer  
AGENCY FOR HEALTHCARE RESEARCH AND QUALITY

Additional information follows

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**SECTION I – AWARD DATA – 1R01HS025198-01A1 REVISED****Award Calculation (U.S. Dollars)**

Salaries and Wages	\$120,468
Fringe Benefits	\$36,502
Personnel Costs (Subtotal)	\$156,970
Consultant Services	\$34,750
Materials & Supplies	\$4,920
Travel	\$4,000
Other	\$9,100
Publication Costs	\$1,200

<b>Federal Direct Costs</b>	<b>\$210,940</b>
<b>Federal F&amp;A Costs</b>	<b>\$126,564</b>
<b>Approved Budget</b>	<b>\$337,504</b>
<b>Total Amount of Federal Funds Obligated (Federal Share)</b>	<b>\$337,504</b>
<b>TOTAL FEDERAL AWARD AMOUNT</b>	<b>\$337,504</b>

**AMOUNT OF THIS ACTION (FEDERAL SHARE)** \$0

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

YR	Total Cost
02	\$343,666
03	\$383,128
04	\$387,832
05	\$387,202

IC	CAN	2017	2018	2019	2020	2021
HS	K72BE60	\$337,504	\$343,666	\$383,128	\$387,832	\$387,202

**Fiscal Information:**

**CFDA Name:** Research on Healthcare Costs, Quality and Outcomes  
**CFDA Number:** 93.226  
**EIN:** 1135598093A7  
**Document Number:** RHS025198A  
**PMS Account Type:** P (Subaccount)  
**Fiscal Year:** 2017

**AHRQ Administrative Data:**

**PCC:** CEPI / **OC:** 4141 / **Processed:** BURRM 10/18/2017

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**SECTION II – PAYMENT/HOTLINE INFORMATION – 1R01HS025198-01A1 REVISED**

For payment and HHS Office of Inspector General Hotline information, see the AHRQ Home Page at <http://www.ahrq.gov/funding/grant-mgmt/index.html>.

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**SECTION III – TERMS AND CONDITIONS – 1R01HS025198-01A1 REVISED**

This award is based on the application submitted to, and as approved by, AHRQ 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. The restrictions on the expenditure of federal funds in appropriations acts to the extent those restrictions are pertinent to the award.

- c. 45 CFR Part 75.
- d. The HHS Grants Policy Statement, including addenda, in effect as of the beginning of the budget period.
- e. Standard terms and conditions can be found at <http://www.ahrq.gov/funding/grant-mgmt/index.html>.
- f. Federal Award Performance Goals: As required by the annual progress report or in the final progress report when applicable.
- g. This award notice, INCLUDING THE TERMS AND CONDITIONS CITED BELOW.

(See AHRQ Home Page at <http://www.ahrq.gov> for certain references cited above.)

Research and Development (R&D): All awards issued by the Agency for Healthcare Research and Quality (AHRQ) meet the definition of "Research and Development" at 45 CFR Part §75.2.

This award is subject to the requirements of 2 CFR Part 25 for institutions to maintain an active registration in the System of Award Management (SAM). Should a consortium/subaward be issued under this award, a requirement for active registration in SAM must be included. See <http://www.ahrq.gov/funding/grant-mgmt/index.html> for the full AHRQ award term implementing this requirement and other additional information.

This award has been assigned the Federal Award Identification Number (FAIN) R01HS025198. Recipients must document the assigned FAIN on each consortium/subaward issued under this award.

This award may be subject to the Transparency Act subaward and executive compensation reporting requirements of 2 CFR Part 170. See <http://www.ahrq.gov/funding/grant-mgmt/subawards.pdf> for the full AHRQ award term implementing this requirement and additional award availability information.

#### AHRQ POLICY REGARDING PRE-AWARD COSTS

The following applies to all AHRQ awards except for NRSA Fellowship Awards (F31 or F32) and AHRQ Dissertation (R36) awards, which do not allow pre-award costs:

Unless otherwise indicated by term of award or the grant is NOT included under expanded authorities, the grantee may, at its own risk, incur obligations and expenditures to cover project-related costs prior to the effective date of an award provided the following criteria are met:

1. The costs incurred are considered reasonable, allocable, and necessary to the conduct of the project.
2. The costs are allowable under the potential award.
3. When required for specific expenditures or activities, AHRQ prior approval was obtained.

For new and competing continuation awards, the costs must be incurred within 90 days prior to the effective date of the award, otherwise AHRQ prior approval is required.

In allowing the applicant/grantee this flexibility, AHRQ expects the applicant/grantee to be fully aware that such borrowing against future year support must not impair its ability to accomplish the project objectives within the approved timeframe or in any way adversely affect the conduct of the project. Additionally, the incurrence of costs prior to the award of a grant imposes no obligation on the Federal Government to either make the award or increase the amount of the approved budget.

This award is subject to the requirements of Section 106(g) of the Trafficking Victims Protection Act of 2000, as amended (22 U.S.C. 7104). For the full text of the award term, go to <http://www.ahrq.gov/funding/grant-mgmt/trafficking.html>.

This award is subject to the requirements of 48 CFR section 3.908, implementing section 828, entitled "Pilot Program for Enhancement of Contractor Employee Whistleblower Protections," of

the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2013 (Pub. L. 112-239, enacted January 2, 2013).

For the full text of the award term, go to <http://www.ahrq.gov/funding/grant-mgmt/whistleblowers.html>.

This award is subject to the Federal Recognition of Same-Sex Spouses/Marriages term of award, pursuant to *United States v. Windsor*, 133 S.Ct.2675 (June 26, 2013); section 3 of the Defense of Marriage Act, codified at 1 USC§7. For the full text of the term of award, go to <http://www.ahrq.gov/funding/grant-mgmt/domaterm.html>.

FCOI: This award is subject to the 2011 Financial Conflict of Interest (FCOI) regulation at 42 CFR Part 50 Subpart F. The grantee institution shall submit all FCOI reports to AHRQ through the eRA Commons FCOI Module.

Public Access: This award is subject to the AHRQ Policy for Public Access Policy for Scientific Publications (see <http://www.ahrq.gov/funding/policies/publicaccess/index.html>). The Policy requires that AHRQ-funded authors submit an electronic version of the author's final peer-reviewed accepted manuscript to the National Library of Medicine's PubMed Central (PMC) upon acceptance by the journal, to be made publicly available within 12 months of the publisher's date of publication.

#### **Treatment of Program Income:** Additional Costs

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 AHRQ fellowships.

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#### **SECTION IV – AHRQ Special Terms and Conditions – 1R01HS025198-01A1 REVISED**

This revised award removes the restricted term on the award issued on 09/22/2017, and reflects AHRQ's acceptance of IRB approval for this project. Costs associated with human subjects research may be charged to the project as of the IRB approval date.

THE FOLLOWING TERMS OF AWARD FROM THE PREVIOUS NOTICE OF AWARD ISSUED ON 09/22/2017 ALSO APPLY TO THIS AWARD:

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This grant is included under expanded authorities.

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NOTICE: Under governing regulations, no Federal funds administered by the Department of Health and Human Services may be expended for research involving human subjects or identifiable data, as defined by the Office for Human Research Protections (OHRP), without an Assurance to comply with the requirements of 45 CFR 46 to protect human research subjects. The restriction against using Federal funds for this purpose applies to all performance sites or suppliers of identifiable data, whether domestic or foreign, that do not have an OHRP-approved assurance. The awardee is responsible for determining whether or not performance sites are "engaged" in human subjects research as defined by OHRP and must ensure the compliance of all performance sites. Refer to the OHRP website at [www.hhs.gov/ohrp/](http://www.hhs.gov/ohrp/) for details and guidance.

By accepting this award the grantee certifies that 1) its IRB has addressed the specific issue of "engagement" in human subjects research by its own organization as well as any other performance sites; 2) any performance site determined to be "engaged" in human subjects research will have an OHRP-approved Assurance in place, or be explicitly listed as an affiliated institution on another institution's Assurance document, before it performs any human subjects research; 3) the grantee will provide AHRQ with the name and address of each performance site requiring an assurance, and notify AHRQ if additional sites requiring assurances are identified post-award; 4) the grantee will provide AHRQ with the name and address of each performance site that the grantee's IRB has determined is not "engaged" in human subjects research; and 5) the grantee will provide AHRQ with Assurance numbers as they are approved for performance sites.

Only activities that are clearly severable and independent from activities that involve human subjects or identifiable data may be conducted at any site that does not have an OHRP-approved Assurance and Institutional Review Board (IRB) approval consistent with 45 CFR 46.

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

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

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Funds requested for salary and fringe benefit support for Dr. Siqin Ye (\$35,789 direct costs and \$21,473 associated F&A costs in year 1 and \$29,697 direct costs and \$17,818 associated F&A costs in year 2 ), the recipient of career development award K23 HL 121144, have been deleted from this project because the K award does not allow salary supplementation from PHS funds.

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In order to redistribute awards more evenly throughout the year, budget periods are being adjusted. This award is issued with a 10 month budget period and with 12 months of support. Future year budget periods will cycle on **August 1**. Allowable preaward costs may be charged to this award in accordance with the conditions outlined in the HHS Grants Policy Statement (<http://www.ahrq.gov/fund/hhspolicy.htm>) and with institutional requirements for prior approval.

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This award includes at least one future year commitment. To request funding for future year support, a complete Research Performance Progress Report (RPPR) (<http://grants.nih.gov/grants/guide/notice-files/NOT-HS-15-001.html>) is to be submitted to AHRQ no later than **May 1, 2018** (if the due date falls on a weekend or Federal holiday, the application is due the next business day). AHRQ does not routinely send separate notification of application deadlines to the Principal Investigator and/or institutional business official.

It is the grantee's responsibility to ensure that a complete RPPR is submitted on time. Late submission of applications may jeopardize funding. Refer to AHRQ's website, [www.AHRQ.gov](http://www.AHRQ.gov) Funding Opportunities, Grants Process, Noncompeting Continuation Funding, for details/special instructions regarding application completion and submission, including priority population reporting. If instructions on the AHRQ website contradict instructions for the RPPR, follow the instructions on the AHRQ website.

Please note that AHRQ's Policy on the Inclusion of Priority Populations in Research (<http://grants.nih.gov/grants/guide/notice-files/NOT-HS-03-010.html>) indicates that AHRQ will monitor the implementation of the policy during the development, review, award, and conduct of research. To facilitate this monitoring, grantees whose projects were funded based on a competing application submitted on or after the October 1, 2003, application receipt date are required to include in each non-competing continuation application a report of progress related to the inclusion of AHRQ priority populations.

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AHRQ requires the grantee to submit annual expenditure data in the appropriate portion of the Federal Financial Report (FFR; Standard Form 425)

(<http://grants.nih.gov/grants/guide/notice-files/NOT-HS-11-008.html>).

The SF-425 form is available on-line at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425.pdf)

and

Instructions are available at:

[http://www.whitehouse.gov/sites/default/files/omb/assets/grants\\_forms/SF-425\\_instructions.pdf](http://www.whitehouse.gov/sites/default/files/omb/assets/grants_forms/SF-425_instructions.pdf).

AHRQ grantees are to report cumulative expenditure data for this grant award on the FFR; AHRQ grantees may not report expenditures for multiple awards on a single FFR.

AHRQ implementation of the FFR retains a financial reporting period that coincides with the budget period of a particular project. However, the due date for annual FFRs will be 90 days after the end of the calendar quarter in which the budget period ends. Note that this is a change in due dates of annual FFRs and may provide up to 60 additional days to report, depending upon when the budget period end date falls within a calendar quarter. For example, if the budget period ends 4/30/2012, the annual FFR is due 9/30/2012 (90 days after the end of the calendar quarter of 6/30/2012).

Submit the Federal Financial Report (SF 425) electronically via the eRA Commons. Please note that this is a change in AHRQ's FFR submission procedures effective with FFRs that have due dates on or after December 20, 2012.

Please note that for grants under expanded authorities, the "Remarks" section must indicate whether or not non-restricted unobligated funds are being carried forward under expanded authorities (EA) to the next budget period (restricted funds may not be carried forward under EA).

For grants that include restricted funds, the grantee must state the status of the restricted funds in the "Remarks" section of the FFR (total restricted, total spent in accordance with the restriction, total unexpended restricted funds).

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None of the funds in this award shall be used to pay the salary of an individual at a rate in excess of Executive Level II of the Federal Executive Pay Scale. If applicable, this award and future years have been adjusted.

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Recipients of Federal funds are subject to annual audit requirements as specified in 45 CFR 75.501 ([http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=8040c4036b962cc9d75c3638dedce240&ty=HTML&h=L&r=PART&n=pt45.1.75#se45.1.75\\_1501](http://www.ecfr.gov/cgi-bin/retrieveECFR?gp=1&SID=8040c4036b962cc9d75c3638dedce240&ty=HTML&h=L&r=PART&n=pt45.1.75#se45.1.75_1501)). Grantees should refer to this regulation for the current annual Federal fund expenditure threshold level which requires audit.

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No individual may be committed to more than 100% professional time and effort. In the event that an individual's commitment exceeds 100%, the grantee must make adjustments to reduce effort. For AHRQ-sponsored projects, significant reductions in effort (i.e., in excess of 25% of the originally proposed level of effort) for the Principal Investigator and key personnel named on this Notice of Award must receive written prior approval from AHRQ.

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## 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 submitted via e-mail or may be mailed to:

AHRQ  
 OMS/Division of Grants Management  
 5600 Fishers Lane, Mail Stop 07N13  
 Rockville, MD 20857

**Grants Management Specialist:** ANNA CAPONITI  
**Email:** anna.caponiti@ahrq.hhs.gov **Phone:** (301) 427-1402 **Fax:** (301) 427-1341

**Program Official:** MARIAN JAMES  
**Email:** marian.james@ahrq.hhs.gov **Phone:** (301) 427-1609 **Fax:** (301) 427-1639

#### SPREADSHEET SUMMARY

**GRANT NUMBER:** 1R01HS025198-01A1 REVISED

**INSTITUTION:** COLUMBIA UNIVERSITY HEALTH SCIENCES

Budget	Year 1	Year 2	Year 3	Year 4	Year 5
Salaries and Wages	\$120,468	\$114,039	\$159,390	\$166,251	\$171,858
Fringe Benefits	\$36,502	\$34,554	\$48,295	\$50,374	\$52,073
Personnel Costs (Subtotal)	\$156,970	\$148,593	\$207,685	\$216,625	\$223,931
Consultant Services	\$34,750	\$21,000	\$12,750	\$6,450	\$6,450
Materials & Supplies	\$4,920	\$16,695	\$1,420	\$1,420	\$620
Travel	\$4,000	\$4,000	\$4,000	\$4,000	\$4,000
Other	\$9,100	\$9,200	\$11,000	\$11,000	\$6,000
Subawards/Consortium/Contractual Costs		\$12,703			
Publication Costs	\$1,200	\$2,600	\$2,600	\$2,900	\$1,000
TOTAL FEDERAL DC	\$210,940	\$214,791	\$239,455	\$242,395	\$242,001
TOTAL FEDERAL F&A	\$126,564	\$128,875	\$143,673	\$145,437	\$145,201
TOTAL COST	\$337,504	\$343,666	\$383,128	\$387,832	\$387,202

Facilities and Administrative Costs	Year 1	Year 2	Year 3	Year 4	Year 5
F&A Cost Rate 1	60%	60%	60%	60%	60%
F&A Cost Base 1	\$210,940	\$214,791	\$239,455	\$242,395	\$242,001
F&A Costs 1	\$126,564	\$128,875	\$143,673	\$145,437	\$145,201