GRANTS AND CONTRACTS APPROVAL ROUTING

CONTRACT ROUTING AGREEMENT INFORMATION

This is a: Amendment 5  
Contract #: 1565-48149-05  
Contract Title: HATC TFCBT (DSHS)  
Description: Trauma Focused Cognitive Behavioral Therapy (TFCBT) - Training and the development of standardized and systematized implementation activities and practices  
Start Date: 09/30/2020  
End Date: 09/29/2021  
Contract Value: $263,455.00  
Prior Value: $1,317,275.00  
Reimbursement Type: Invoiced  
Program Income: Yes  
Invoice Interval: Quarterly  
Additive or Deductive Method?:  
Reporting Required? Yes  
Person responsible for report: Valerie Edwards  
Note: This amendment adds $263,455, which increases the total contract to $1,580,730. The amendment also extends the period of performance and makes minor updates to definitions and special terms & conditions.

<table>
<thead>
<tr>
<th>Budget</th>
<th>Program</th>
<th>CFDA</th>
<th>Federal $</th>
<th>State $</th>
<th>County $</th>
<th>Private $</th>
<th>City $</th>
<th>Total</th>
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<td>31-7816</td>
<td>18765</td>
<td>93,958</td>
<td>$1,580,730</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>$1,580,730</td>
</tr>
</tbody>
</table>

Contractor Information

Name: Washington State Health Care Authority, Division of Behavioral Health  
Contact: Janet Stevens  
Phone #:  
Email Address: Janet.Stevens@hca.wa.gov

DEPARTMENT INFORMATION

Name: AACS  
Contact: Valerie Edwards  
Phone #: 744-1646  
Email: valeriee@uw.edu  
Box #: 359947

REQUIRED APPROVALS

<table>
<thead>
<tr>
<th>Name</th>
<th>Signature</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Valerie Edwards</td>
<td>See attached electronic approval.</td>
<td></td>
</tr>
<tr>
<td>Tzeghe Makonnen</td>
<td>See attached electronic approval.</td>
<td></td>
</tr>
<tr>
<td>Laura Merchant</td>
<td>See attached electronic approval.</td>
<td></td>
</tr>
<tr>
<td>Jerome Mendōza Dayao</td>
<td>See attached electronic approval.</td>
<td></td>
</tr>
<tr>
<td>Paul Hayes</td>
<td></td>
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</table>

When signed, please contact Susie Salem at ssalem2@uw.edu.
**Workflow Status**

**Workflow Status**

Initiator: Salem, Susan R  
Document: 18765 HATC TFCBT Amd S 09292021

**Tasks**

The following tasks have been assigned to the participants in this workflow. Click a task to edit it. You can also view these tasks in the list "Contract Approval 2014 Tasks."

<table>
<thead>
<tr>
<th>Assigned To</th>
<th>Title</th>
<th>Due Date</th>
<th>Status</th>
<th>Related Content</th>
<th>Outcome</th>
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<tbody>
<tr>
<td>Edwards, Valerie J</td>
<td>Please approve 18765 HATC TFCBT Amd S 09292021</td>
<td>1/1/2100</td>
<td>Completed</td>
<td>18765 HATC TFCBT Amd S 09292021</td>
<td>Approved</td>
</tr>
<tr>
<td>Makonnen, Tzeghe</td>
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<td>1/1/2100</td>
<td>Completed</td>
<td>18765 HATC TFCBT Amd S 09292021</td>
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</tr>
<tr>
<td>Merchant, Laura W</td>
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<td>1/1/2100</td>
<td>Completed</td>
<td>18765 HATC TFCBT Amd S 09292021</td>
<td>Approved</td>
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<tr>
<td>Dayao, Jerome M</td>
<td>Please approve 18765 HATC TFCBT Amd S 09292021</td>
<td>1/1/2100</td>
<td>Completed</td>
<td>18765 HATC TFCBT Amd S 09292021</td>
<td>Approved</td>
</tr>
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</table>

**Workflow History**

The following events have occurred in this workflow.

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<thead>
<tr>
<th>Date Occurred</th>
<th>Event Type</th>
<th>User ID</th>
<th>Description</th>
<th>Outcome</th>
</tr>
</thead>
<tbody>
<tr>
<td>10/16/2020 11:21 AM</td>
<td>Error</td>
<td>Salem, Susan R</td>
<td>Coercion warning: user or group does not have a valid e-mail address.</td>
<td></td>
</tr>
<tr>
<td>10/16/2020 11:21 AM</td>
<td>Error</td>
<td>System Account Account</td>
<td>The workflow could not set content approval status. Enable content moderation for this list and run the workflow again.</td>
<td></td>
</tr>
<tr>
<td>10/16/2020 11:21 AM</td>
<td>Error</td>
<td>System Account Account</td>
<td>The e-mail message cannot be sent. Make sure the e-mail has a valid recipient.</td>
<td></td>
</tr>
<tr>
<td>10/16/2020 11:21 AM</td>
<td>Error</td>
<td>System Account Account</td>
<td>The e-mail message cannot be sent. Make sure the e-mail has a valid recipient.</td>
<td></td>
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<tr>
<td>10/16/2020 11:21 AM</td>
<td>Workflow Initiated</td>
<td>Salem, Susan R</td>
<td>Approval was started. Participants: Edwards, Valerie J; Makonnen, Tzeghe; Merchant, Laura W; Dayao, Jerome M</td>
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</tr>
<tr>
<td>10/16/2020 11:21 AM</td>
<td>Task Created</td>
<td>Salem, Susan R</td>
<td>Task created for Edwards, Valerie J. Due by: 1/1/2100 12:00:00 AM</td>
<td></td>
</tr>
<tr>
<td>10/16/2020 11:21 AM</td>
<td>Task Created</td>
<td>Salem, Susan R</td>
<td>Task created for Makonnen, Tzeghe. Due by: 1/1/2100 12:00:00 AM</td>
<td></td>
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<tr>
<td>10/16/2020 11:21 AM</td>
<td>Task Created</td>
<td>Salem, Susan R</td>
<td>Task created for Merchant, Laura W. Due by: 1/1/2100 12:00:00 AM</td>
<td></td>
</tr>
<tr>
<td>10/16/2020 11:21 AM</td>
<td>Task Created</td>
<td>Salem, Susan R</td>
<td>Task created for Dayao, Jerome M. Due by: 1/1/2100 12:00:00 AM</td>
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<td>Merchant, Laura W</td>
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<td>Task assigned to Edwards, Valerie J was approved by Edwards, Valerie J. Comments:</td>
<td>Approved by Edwards, Valerie J</td>
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<td>Task assigned to Makonnen, Tzeghe was approved by Makonnen, Tzeghe. Comments:</td>
<td>Approved by Makonnen, Tzeghe</td>
</tr>
<tr>
<td>10/20/2020 12:47 PM</td>
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</tr>
<tr>
<td>10/20/2020 12:47 PM</td>
<td>Task Completed</td>
<td>Dayao, Jerome M</td>
<td>Task assigned to Dayao, Jerome M was approved by Dayao, Jerome M. Comments:</td>
<td>Approved by Dayao, Jerome M</td>
</tr>
<tr>
<td>10/20/2020 12:47 PM</td>
<td>Error</td>
<td>System Account Account</td>
<td>The e-mail message cannot be sent. Make sure the e-mail has a valid recipient.</td>
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</tr>
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<td>10/20/2020 12:47 PM</td>
<td>Workflow Completed</td>
<td>Salem, Susan R</td>
<td>Approval was completed. Approval on 18765 HATC TFCBT Amd S 09292021 has successfully completed. All participants have completed their tasks.</td>
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</tr>
</tbody>
</table>
**THIS AMENDMENT TO THE CONTRACT** is between the Washington State Health Care Authority and the party whose name appears below, and is effective as of the date set forth below.

<table>
<thead>
<tr>
<th>CONTRACTOR NAME</th>
<th>CONTRACTOR doing business as (DBA)</th>
</tr>
</thead>
<tbody>
<tr>
<td>University of Washington</td>
<td>Harborview</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CONTRACTOR ADDRESS</th>
<th>WASHINGTON UNIFORM BUSINESS IDENTIFIER (UBI)</th>
</tr>
</thead>
<tbody>
<tr>
<td>325 9th Avenue, Mail Stop 359947</td>
<td></td>
</tr>
<tr>
<td>Seattle WA, 98104</td>
<td></td>
</tr>
</tbody>
</table>

WHEREAS, HCA and Contractor previously entered into a Contract for workforce development through the dissemination of training and the development of standardized and systematized implementation activities and practices, and;

WHEREAS, HCA and Contractor wish to amend the Contract pursuant to Section 2, Amendment, to increase funding, extend the period of performance, and address minor contract updates;

NOW THEREFORE, the parties agree the Contract is amended as follows:

1. An additional $263,455 is added to the previous Contract total of $1,317,275. The new Total Maximum Contract Amount is $1,580,730.

2. The Contract End Date is amended to extend the Contract term through September 29, 2021.

3. Section 1, **Definitions**, of the **Special Terms and Conditions**, item (e) is amended to read as follows:

   (e) “DBHR” means the HCA Division of Behavioral Health and Recovery.

4. Special Terms and Conditions, Section 4, Consideration, is replaced in its entirety with the following:

   **4. Consideration.** Total consideration payable to Contractor for satisfactory performance of the work under this Contract is increased $263,455 for 9/30/2020 to 9/29/2021, up to a maximum of $1,580,730. Including any and all expenses, and shall be based on Section 5, **Deliverables**, of the Special Terms and Conditions.

   Funding that supports this Agreement comes from Community Mental Health Services Block Grant (MHBG) Funds, Department of Health and Human Services (DHHS), Catalog of Federal Domestic Assistance (CFDA) #93.958.

5. Special Terms and Conditions, Section 11, **Federal Award Identification for Subrecipients (reference 2 CFR 200.331)** - Mental Health Block Grant, a new table is added as follows:

<table>
<thead>
<tr>
<th>(i) Subrecipient name (which must match the name associated with its unique entity identifier);</th>
<th>University of Washington</th>
</tr>
</thead>
<tbody>
<tr>
<td>(ii) Subrecipient's unique entity identifier; (DUNS)</td>
<td>136578817</td>
</tr>
<tr>
<td>(iii) Federal Award Identification Number (FAIN);</td>
<td>B09SM082638-01</td>
</tr>
<tr>
<td>(iv) Federal Award Date (see §200.39 Federal award date);</td>
<td>3/31/2020</td>
</tr>
<tr>
<td>(v) Subaward Period of Performance Start and End Date;</td>
<td>9/30/2019 – 09/29/2021</td>
</tr>
<tr>
<td>(vi) Amount of Federal Funds Obligated by this action;</td>
<td>$263,455.</td>
</tr>
<tr>
<td>(vii) Total Amount of Federal Funds Obligated to the subrecipient;</td>
<td>$1,580,730.</td>
</tr>
<tr>
<td>(xiii) Total Amount of the Federal Award;</td>
<td>$16,051,771</td>
</tr>
</tbody>
</table>
| (ix) Federal award project description, as required to be responsive to the Federal Funding Accountability and Transparency Act (FFATA); | SAMHSA  
WA State Health Care Authority  
Keri Waterland, Assistant Director DBHR  
626 8th Ave SE; Olympia, WA 98504-5330  
Keri.waterland@hca.wa.gov |
| (x) Name of Federal awarding agency, pass-through entity, and contact information for awarding official; | |
| (xii) Identification of whether the award is R&D; and | □ Yes □ No |
| (xiii) Indirect cost rate for the Federal award (including if the de minimis rate is charged per §200.414 Indirect (F&A) costs). | FED FINANCIAL REPORTING SECTION MANAGER . |

6. A new Attachment 1, Federal Compliance, Certifications, and Assurances, is attached hereto and incorporated therein.

7. A new Attachment 2, Federal Funding Accountability and Transparency Act (FFATA) Data Collection Form, is attached hereto and incorporated therein.

8. A new Attachment 3, Substance Abuse and Mental Health Services Administration (SAMHSA) Award Terms, is attached hereto and incorporated therein.

9. This Amendment will be effective September 30, 2020, (“Effective Date”).

10. All capitalized terms not otherwise defined herein have the meaning ascribed to them in the Contract.

11. All other terms and conditions of the Contract remain unchanged and in full force and effect.

The parties signing below warrant that they have read and understand this Amendment and have authority to execute the Amendment. This Amendment will be binding on HCA only upon signature by both parties.

<table>
<thead>
<tr>
<th>CONTRACTOR SIGNATURE</th>
<th>PRINTED NAME AND TITLE</th>
<th>DATE SIGNED</th>
</tr>
</thead>
</table>
| Paul Hayes | Paul Hayes, RN  
Chief Executive Officer | 10/21/2020 |

<table>
<thead>
<tr>
<th>HCA SIGNATURE</th>
<th>PRINTED NAME AND TITLE</th>
<th>DATE SIGNED</th>
</tr>
</thead>
</table>
| Rachelle Aimerine | Rachelle Aimerine  
Contracts Administrator  
Division of Legal Services | 10/7/2020 |
ATTACHMENT 1

Federal Compliance, Certifications, and Assurances

Definitions:

“Sub-recipient”; means the legal entity to which a sub-award is made and which is accountable to the State for the use of the funds provided in carrying out a portion of the State’s programmatic effort under a sponsored project. The term may include institutions of higher education, for-profit corporations or non-U.S. Based entities.

“Sub-award and Sub-grant” are used interchangeably and mean a lower tier award of financial support from a prime awardee (e.g., Washington State Health Care Authority) to a Sub-recipient for the performance of a substantive portion of the program. These requirements do not apply to the procurement of goods and services for the benefit of the Washington State Health Care Authority.

I. FEDERAL COMPLIANCE - The use of federal funds requires additional compliance and control mechanisms to be in place. The following represents the majority of compliance elements that may apply to any federal funds provided under this contract. For clarification regarding any of these elements or details specific to the federal funds in this contract, contact: Paul Davis.

a. Source of Funds SABG: This agreement is being funded partially or in full through Cooperative Agreement number B09SM082638-01, the full and complete terms and provisions of which are hereby incorporated into this Contract. Federal funds to support this agreement are identified by the Catalog of Federal Domestic Assistance (CFDA) number 93.959 in the amount of $263,455. The sub-awardee is responsible for tracking and reporting the cumulative amount expended under HCA Contract 1565-48149-05.

b. Period of Availability of Funds SABG: Pursuant to 45 CFR 92.23, Sub-awardee may charge to the award only costs resulting from obligations of the funding period specified in B09SM082638-01 unless carryover of unobligated balances is permitted, in which case the carryover balances may be charged for costs resulting from obligations of the subsequent funding period. All obligations incurred under the award must be liquidated no later than 90 days after the end of the funding period.

c. Single Audit Act: A sub-awardee (including private, for-profit hospitals and non-profit institutions) shall adhere to the federal Office of Management and Budget (OMB) Super Circular 2 CFR 200.501 and 45 CFR 75.501. A sub-awardee who expends $750,000 or more in federal awards during a given fiscal year shall have a single or program-specific audit for that year in accordance with the provisions of OMB Super Circular 2 CFR 200.501 and 45 CFR 75.501.

d. Modifications: This agreement may not be modified or amended, nor may any term or provision be waived or discharged, including this particular Paragraph, except in writing, signed upon by both parties.

1. Examples of items requiring Health Care Authority prior written approval include, but are not limited to, the following:
   i. Deviations from the budget and Project plan.
   ii. Change in scope or objective of the agreement.
   iii. Change in a key person specified in the agreement.
   iv. The absence for more than one (1) months or a 25% reduction in time by the Project Manager/Director.
   v. Need for additional funding.
   vi. Inclusion of costs that require prior approvals as outlined in the appropriate cost principles.
vii. Any changes in budget line item(s) of greater than twenty percent (20%) of the total budget in this agreement.

2. No changes are to be implemented by the Sub-awardee until a written notice of approval is received from the Health Care Authority.

e. **Sub-Contracting:** The sub-awardee shall not enter into a sub-contract for any of the work performed under this agreement without obtaining the prior written approval of the Health Care Authority. If sub-contractors are approved by the Health Care Authority, the subcontract, shall contain, at a minimum, sections of the agreement pertaining to Debarred and Suspended Vendors, Lobbying certification, Audit requirements, and/or any other project Federal, state, and local requirements.

f. **Condition for Receipt of Health Care Authority Funds:** Funds provided by Health Care Authority to the sub-awardee under this agreement may not be used by the sub-awardee as a match or cost-sharing provision to secure other federal monies without prior written approval by the Health Care Authority.

g. **Unallowable Costs:** The sub-awardees’ expenditures shall be subject to reduction for amounts included in any invoice or prior payment made which determined by HCA not to constitute allowable costs on the basis of audits, reviews, or monitoring of this agreement.

h. **Supplanting Compliance:** SABG: The Block Grant will not be used to supplant State funding of alcohol and other drug prevention and treatment programs. (45 CFR section 96.123(a)(10)).

i. **Citizenship/Alien Verification/Determination:** The Personal Responsibility and Work Opportunity Reconciliation Act (PRWORA) of 1996 (PL 104-193) states that federal public benefits should be made available only to U.S. citizens and qualified aliens. Entities that offer a service defined as a “federal public benefit” must make a citizenship/qualified alien determination/verification of applicants at the time of application as part of the eligibility criteria. Non-US citizens and unqualified aliens are not eligible to receive the services. PL 104-193 also includes specific reporting requirements.

j. **Federal Compliance:** The sub-awardee shall comply with all applicable State and Federal statutes, laws, rules, and regulations in the performance of this agreement, whether included specifically in this agreement or not.

k. **Civil Rights and Non-Discrimination Obligations:** During the performance of this agreement, the Contractor shall comply with all current and future federal statutes relating to nondiscrimination. These include but are not limited to: Title VI of the Civil Rights Act of 1964 (PL 88-352), Title IX of the Education Amendments of 1972 (20 U.S.C. §§ 1681-1683 and 1685-1686), section 504 of the Rehabilitation Act of 1973 (29 U.S.C. § 794), the Age Discrimination Act of 1975 (29 U.S.C. §§ 6101-6107), the Drug Abuse Office and Treatment Act of 1972 (PL 92-255), the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970 (PL 91-616), §§523 and 527 of the Public Health Service Act of 1912 (42 U.S.C. §§290dd-3 and 290ee-3), Title VIII of the Civil Rights Act of 1968 (42 U.S.C. §§3601 et seq.), and the Americans with Disability Act (42 U.S.C., Section 12101 et seq.)

http://www.hhs.gov/ocr/civilrights

**HCA Federal Compliance Contact Information**

Federal Grants and Budget Specialist Health Care Policy
Washington State Health Care Authority
Post Office Box 42710
Olympia, Washington 98504-2710
II. CIRCULARS ‘COMPLIANCE MATRIX’ - The following compliance matrix identifies the OMB Circulars that contain the requirements which govern expenditure of federal funds. These requirements apply to the Washington State Health Care Authority (HCA), as the primary recipient of federal funds and then follow the funds to the sub-awardee, «Contractor Name». The federal Circulars which provide the applicable administrative requirements, cost principles and audit requirements are identified by sub-awardee organization type.

<table>
<thead>
<tr>
<th>ENTITY TYPE</th>
<th>ADMINISTRATIVE REQUIREMENTS</th>
<th>COST PRINCIPLES</th>
<th>AUDIT REQUIREMENTS</th>
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</thead>
<tbody>
<tr>
<td>State, Local and Indian Tribal Governments and Governmental Hospitals</td>
<td>OMB Super Circular 2 CFR 200.501 and 45 CFR 75.501</td>
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<td></td>
</tr>
<tr>
<td>Non-Profit Organizations and Non-Profit Hospitals</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Colleges or Universities and Affiliated Hospitals</td>
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<td></td>
<td></td>
</tr>
<tr>
<td>For-Profit Organizations</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Definitions:**

"Sub-recipient"; means the legal entity to which a sub-award is made and which is accountable to the State for the use of the funds provided in carrying out a portion of the State’s programmatic effort under a sponsored project. The term may include institutions of higher education, for-profit corporations or non-U.S. Based entities.

"Sub-award and Sub-grant" are used interchangeably and mean a lower tier award of financial support from a prime awardee (e.g., Washington State Health Care Authority) to a Sub-recipient for the performance of a substantive portion of the program. These requirements do not apply to the procurement of goods and services for the benefit of the Washington State Health Care Authority.

III. STANDARD FEDERAL CERTIFICATIONS AND ASSURANCES - Following are the Assurances, Certifications, and Special Conditions that apply to all federally funded (in whole or in part) agreements administered by the Washington State Health Care Authority.

CERTIFICATIONS

1. CERTIFICATION REGARDING DEBARMENT AND SUSPENSION

The undersigned (authorized official signing for the contracting organization) certifies to the best of his or her knowledge and belief, that the contractor, defined as the primary participant in accordance with 45 CFR Part 76, and its principals:

I. are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal Department or agency have not within a 3-year period preceding this contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local) transaction or contract under a public transaction;

10/1/2020
violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property; are not presently indicted or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in Section 2 of this certification; and have not within a 3-year period preceding this contract had one or more public transactions (Federal, State, or local) terminated for cause or default.

Should the contractor not be able to provide this certification, an explanation as to why should be placed after the assurances page in the contract.

The contractor agrees by signing this contract that it will include, without modification, the clause titled "Certification Regarding Debarment, Suspension, Ineligibility, and Voluntary Exclusion--Lower Tier Covered Transactions" in all lower tier covered transactions (i.e., transactions with sub-grantees and/or contractors) and in all solicitations for lower tier covered transactions in accordance with 45 CFR Part 76.

2. CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

The undersigned (authorized official signing for the contracting organization) certifies that the contractor will, or will continue to, provide a drug-free workplace in accordance with 45 CFR Part 76 by:

I. Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition; establishing an ongoing drug-free awareness program to inform employees about

   a. The dangers of drug abuse in the workplace;
   b. The contractor's policy of maintaining a drug-free workplace;
   c. Any available drug counseling, rehabilitation, and employee assistance programs; and
   d. The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

II. Making it a requirement that each employee to be engaged in the performance of the contract be given a copy of the statement required by paragraph (I) above;

III. Notifying the employee in the statement required by paragraph (I), above, that, as a condition of employment under the contract, the employee will—

   a. Abide by the terms of the statement; and
   b. Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five (5) calendar days after such conviction;

IV. Notifying the agency in writing within ten calendar days after receiving notice under paragraph (III)(b) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every contract officer or other designee on whose contract activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

V. Taking one of the following actions, within thirty (30) calendar days of receiving notice under paragraph (III) (b), with respect to any employee who is so convicted—

   a. Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended;
or

b. Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

VI. Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (I) through (V).

For purposes of paragraph (V) regarding agency notification of criminal drug convictions, Authority has designated the following central point for receipt of such notices:

Legal Services Manager
WA State Health Care Authority
PO Box 42700
Olympia, WA 98504-2700

3. CERTIFICATION REGARDING LOBBYING

Title 31, United States Code, Section 1352, entitled "Limitation on use of appropriated funds to influence certain Federal contracting and financial transactions," generally prohibits recipients of Federal grants and cooperative agreements from using Federal (appropriated) funds for lobbying the Executive or Legislative Branches of the Federal Government in connection with a SPECIFIC grant or cooperative agreement. Section 1352 also requires that each person who requests or receives a Federal grant or cooperative agreement must disclose lobbying undertaken with non-Federal (nonappropriated) funds. These requirements apply to grants and cooperative agreements EXCEEDING $100,000 in total costs (45 CFR Part 93).

The undersigned (authorized official signing for the contracting organization) certifies, to the best of his or her knowledge and belief, that:

VII. No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, 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.

VIII. If any funds other than Federally appropriated funds have been paid or will be paid 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 this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure of Lobbying Activities," in accordance with its instructions. (If needed, Standard Form-LLL, "Disclosure of Lobbying Activities," its instructions, and continuation sheet are included at the end of this application form.)

IX. The undersigned shall require that the language of this certification be included in the award documents for all subcontracts at all tiers (including subcontracts, subcontracts, and contracts under grants, loans and cooperative agreements) and that all sub-recipients shall certify and disclose accordingly.

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 Section 1352, U.S. Code. 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.
4. **CERTIFICATION REGARDING PROGRAM FRAUD CIVIL REMEDIES ACT (PFCRA)**

The undersigned (authorized official signing for the contracting organization) certifies that the statements herein are true, complete, and accurate to the best of his or her knowledge, and that he or she is aware that any false, fictitious, or fraudulent statements or claims may subject him or her to criminal, civil, or administrative penalties. The undersigned agrees that the contracting organization will comply with the Public Health Service terms and conditions of award if a contract is awarded.

5. **CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE**

Public Law 103-227, also known as the Pro-Children Act of 1994 (Act), requires that smoking not be permitted in any portion of any indoor facility owned or leased or contracted for by an entity and used routinely or regularly for the provision of health, day care, early childhood development services, education or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law also applies to children’s services that are provided in indoor facilities that are constructed, operated, or maintained with such Federal funds. The law does not apply to children’s services provided in private residence, portions of facilities used for inpatient drug or alcohol treatment, service providers whose sole source of applicable Federal funds is Medicare or Medicaid, or facilities where WIC coupons are redeemed.

Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to $1,000 for each violation and/or the imposition of an administrative compliance order on the responsible entity.

By signing the certification, the undersigned certifies that the contracting organization will comply with the requirements of the Act and will not allow smoking within any portion of any indoor facility used for the provision of services for children as defined by the Act.

The contracting organization agrees that it will require that the language of this certification be included in any subcontracts which contain provisions for children's services and that all sub-recipients shall certify accordingly.

The Public Health Services strongly encourages all recipients to provide a smoke-free workplace and promote the non-use of tobacco products. This is consistent with the PHS mission to protect and advance the physical and mental health of the American people.

6. **CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS INSTRUCTIONS FOR CERTIFICATION**

   I. By signing and submitting this proposal, the prospective contractor is providing the certification set out below.

   II. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective contractor shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective contractor to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

   III. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective contractor knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause of default.

10/1/2020
IV. The prospective contractor shall provide immediate written notice to the department or agency to whom this contract is submitted if at any time the prospective contractor learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

V. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the person to whom this contract is submitted for assistance in obtaining a copy of those regulations.

VI. The prospective contractor agrees by submitting this contract that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by Authority.

VII. The prospective contractor further agrees by submitting this contract that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion -- Lower Tier Covered Transaction," provided by HHS, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

VIII. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the Non-procurement List (of excluded parties).

IX. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

X. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, Authority may terminate this transaction for cause or default.

7. CERTIFICATION REGARDING DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS -- PRIMARY COVERED TRANSACTIONS

I. The prospective contractor certifies to the best of its knowledge and belief, that it and its principals:

a. Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any Federal department or agency;

b. Have not within a three-year period preceding this contract been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

c. Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph 7(1)(b) of this certification; and
d. Have not within a three-year period preceding this contract had one or more public transactions (Federal, State or local) terminated for cause or default.

II. Where the prospective contractor is unable to certify to any of the statements in this certification, such prospective contractor shall attach an explanation to this proposal.

<table>
<thead>
<tr>
<th>SIGNATURE OF AUTHORIZED CERTIFYING OFFICIAL</th>
<th>TITLE</th>
</tr>
</thead>
<tbody>
<tr>
<td>DocuSigned by: Paul Hayes</td>
<td>Chief Executive Officer</td>
</tr>
</tbody>
</table>

Please also print or type name:

Paul Hayes, RN

<table>
<thead>
<tr>
<th>ORGANIZATION NAME: (if applicable)</th>
<th>DATE</th>
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</thead>
<tbody>
<tr>
<td>Harborview Medical Center</td>
<td>10/21/2020</td>
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</table>

10/1/2020
ATTACHMENT 2
Federal Funding Accountability and Transparency Act (FFATA) Data Collection Form

This Contract is supported by federal funds that require compliance with the Federal Funding Accountability and Transparency Act (FFATA or the Transparency Act). The purpose of the Transparency Act is to make information available online so the public can see how federal funds are spent.

To comply with the act and be eligible to enter into this contract, your organization must have a Data Universal Numbering System (DUNS®) number. A DUNS® number provides a method to verify data about your organization. If you do not already have one, you may receive a DUNS® number free of charge by contacting Dun and Bradstreet at www.dnb.com.

Required Information about your organization and this contract will be made available on USASpending.gov by HCA as required by P.L. 109-282. As a tool to provide the information, HCA encourages registration with the Central Contractor Registry (CCR) because less data entry and re-entry is required by both HCA and your organization. You may register with CCR on-line at https://www.uscontractorregistration.com/.

<table>
<thead>
<tr>
<th>CONTRACTOR</th>
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<tbody>
<tr>
<td><strong>Legal Name</strong></td>
<td><strong>DUNS Number</strong></td>
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<tr>
<td>Harborview Medical Center</td>
<td>136578817</td>
</tr>
<tr>
<td><strong>Principle Place of</strong></td>
<td><strong>Congressional District</strong></td>
</tr>
<tr>
<td>Performance</td>
<td>WA-006</td>
</tr>
<tr>
<td>325 9th Ave</td>
<td></td>
</tr>
<tr>
<td><strong>3b. City</strong></td>
<td><strong>State</strong></td>
</tr>
<tr>
<td>Seattle</td>
<td>WA</td>
</tr>
<tr>
<td><strong>3d. Zip+4</strong></td>
<td><strong>Country</strong></td>
</tr>
<tr>
<td>98104-2420</td>
<td>USA</td>
</tr>
</tbody>
</table>

Are you registered in CCR (https://www.uscontractorregistration.com/)? ☑YES (skip to page 2. Sign, date and return) ☐NO

In the preceding fiscal year did your organization:
Receive 80% or more of annual gross revenue from federal contracts, Subcontracts, grants, loans, subgrants, and/or cooperative agreements; and
$25,000,000 or more in annual gross revenues from federal contracts, Subcontracts, grants, loans, subgrants, and/or cooperative agreements; and
The public does not have access to information about the compensation of the executives through periodic reports filed with the IRS or the Security and Exchange Commission per 2 CFR Part 170.330

☑NO (skip the remainder of this section - Sign, date and return)
☐YES (You must report the names and total compensation of the top 5 highly compensated officials of your organization).

<table>
<thead>
<tr>
<th>Name Of Official</th>
<th>Total Compensation</th>
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<tbody>
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<td>1.</td>
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<td>2.</td>
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<td>3.</td>
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<td>4.</td>
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<td>5.</td>
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</tbody>
</table>

Note: “Total compensation” means the cash and noncash dollar value earned by the executive during the sub-recipient’s past fiscal year of the following (for more information see 17 CFR 229.402 (c) (2))

By signing this document, the Contractor Authorized Representative attests to the information.

HCA will not endorse the Contractor’s subaward until this form is completed and returned.

FOR HEALTH CARE AUTHORITY USE ONLY

HCA Contract Number: K1565-48149-05

<table>
<thead>
<tr>
<th>Signature of Contractor Authorized Representative</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>[Signature]</td>
<td>10/21/2020</td>
</tr>
</tbody>
</table>

10/1/2020
Sub-award Project Description (see instructions and examples below)

Instructions for Sub-award Project Description:

In the first line of the description provide a title for the sub-award that captures the main purpose of the Subrecipients work. Then, indicate the name of the Subrecipient and provide a brief description that captures the overall purpose of the sub-award, how the funds will be used, and what will be accomplished.

Example of a Sub-award Project Description:

Increase Healthy Behaviors: Educational Services District XYZ will provide training and technical assistance to chemical dependency centers to assist the centers to integrate tobacco use into their existing addiction treatment programs. Funds will also be used to assist centers in creating tobacco free treatment environments.
ATTACHMENT 3
Substance Abuse and Mental Health Services Administration (SAMHSA) Award Terms

If the funding for this Contract work should fall under the Substance Abuse and Mental Health Services Administration (SAMHSA) Award Terms outlined below the Contractor must comply with the requirements of those terms as they would apply to HCA.

1. SAMHSA Award Terms.

1.1 This grant is subject to the terms and conditions, included directly, or incorporated by reference on the Notice of Award (NoA).

1.2 Grant funds cannot be used to supplant current funding of existing activities.

1.3 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 1, which is $199,700 annually.

1.4 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 sub-grant awards and authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures, and income. SAMHSA or its designee may conduct a financial compliance audit and on-site program review of grants with significant amounts of Federal funding.

1.5 Per 45 Code of Federal Regulations (CFR) 74.36 and 45 CFR 92.34 and the US Department of Health and Human Services Grants Policy Statement, any copyrighted or copyrightable works developed under this cooperative agreement/grant shall be subject to royalty-free, nonexclusive and irrevocable license to the government to reproduce, publish, or otherwise use them and to authorize others to do so for General Government purposes. Income earned from any copyrightable work developed under this grant must be used as program income.

1.6 Program income accrued under this award must 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 Office of Management and Budget circulars A-102 and A-110.

1.7 No part of an 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.

1.8 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 agency acting for such recipient, related to any activity designed to influence legislation or appropriations pending before the Congress or any State legislature.

1.9 Where a conference is funded by a grant or cooperative agreement the recipient must include the following statement on all conference materials (including promotional materials, agenda, and internet sites): “Funding for this conference was made possible (in part) by Grant H79TI081705 from SAMHSA. The views expressed in written conference materials or publications and by speakers and moderators do not necessarily reflect the official policies of
the Department of Health and Human Services; nor does mention of trade names, commercial practices, or organizations imply endorsement by the U.S. Government."

1.10 If federal funds are used by the Contractor to attend a meeting, conference, etc. and meal(s) are provided as part of the program, then the per diem applied to the Federal travel costs (Meal and Incidental Expenses allowance) must be reduced by the allotted meal cost(s).

1.11 Marijuana Attestation. The primary award recipient and all sub-recipients (contractor & sub-awardee) will not use funds, directly or indirectly, to purchase, prescribe, or provide marijuana or treatment using marijuana. Treatment in this context includes the treatment of opioid use disorder. Grant funds also will not be provided to any individual who or organization that provides or permits marijuana use for the purposes of treating substance use or mental disorders (45 CFR. § 75.300(a); 21 United States Code §§ 812(c) (10) and 8410). This prohibition does not apply to those providing such treatment in the context of clinical research permitted by the Drug Enforcement Administration and under a US Food and Drug Administration-approved investigational new drug application where the article being evaluated is marijuana or a constituent thereof that is otherwise a banned controlled substance under federal law.

1.12 SABG Block Grant Attestation: SABG Block grant funds will not be used to supplant State funding of alcohol and other drug prevention and treatment programs. (45 CFR section 96.123(a)(10)).