**RESOLUTION OF THE
BUDGET AND FINANCE COMMITTEE
OF THE NAVAJO NATION COUNCIL**

23RD NAVAJO NATION COUNCIL – Third Year, 2017

AN ACTION

RELATING TO HEALTH, EDUCATION AND HUMAN SERVICES AND BUDGET AND FINANCE COMMITTEES; ACCEPTING THE NATIONAL INSTITUTES OF HEALTH SUB-GRANT IN THE AMOUNT OF $133,413

BE IT ENACTED:

SECTION ONE. AUTHORITY

A. The Health, Education and Human Services Committee (HEHSC) is a standing committee of the Navajo Nation Council. It is empowered to review and recommend resolutions regarding certain matters, including health, education and social services. 2 N.N.C. §§ 164 (A)(9), 400 (A), 401 (B)(6)(A)(2012); *see* also CO-45-12.

B. The Budget and Finance Committee is a standing committee of the Navajo Nation Council. It is empowered to "[a]uthorize, review, approve and accept agreements, including contracts and grants, between the Navajo Nation and any federal, state or regional authority upon the recommendation of the standing committee which has oversight of the division, department or program which has applied for the agreement, or upon recommendation of the Chapter". 2 N.N.C. 301(B)(15).

SECTION TWO. FINDINGS

A. The National Institutes of Health, U.S. Department of Health and Human Services awarded a grant to the University of New Mexico Health Services Center for the project *Understanding Risk Gradients from Environment on Native American Child Health Trajectories: Toxics Immunomodulation, Metabolic syndromes, & Metals Exposure;* the amount of the award is $1,075,566. *See* **Exhibit A.**

B. The University of New Mexico, as the pass through entity, awarded a sub-grant to the Navajo Nation Department of Health, CHR/Outreach Program; the amount of the sub-grant is $133,413. *See* **Exhibit B.**

C. The Navajo Nation Department of Health, CHR/Outreach Program will provide, in part, overall program oversight and coordination, interface with the UNM Center for Development and Disability Clinical Fellows/psychometricians and with the Navajo Nation Institutional Review Board and other agencies as needed to facilitate program activities and communicate the findings and need of the study.

D. The Navajo Nation Division of Health, CHR/Outreach Program budget documents are attached as **Exhibit C.**

SECTION THREE. ACCEPTANCE AND APPROVAL

A. The Navajo Nation hereby accepts the sub-grant for the Navajo Nation Department of Health, CHR/Outreach Program; an award of $133,413.

B. The President of the Navajo Nation, or his designee, is hereby authorized to execute all documents necessary to effectuate the intent of this legislation.

CERTIFICATION

I hereby certify that the foregoing resolution was duly considered by the Budget and Finance Committee of the Navajo Nation Council at a duly called meeting held at Window Rock, Navajo Nation (Arizona), at which a quorum was present and that the same was passed by a vote of 4 in favor and 0 opposed, this 7th day of March, 2017.

Dwight Witherspoon, Vice Chairperson
Budget and Finance Committee

Motion: Honorable Lee Jack, Sr.
Second: Honorable Tuchoney Slim, Jr.

Notice of Award

Ph 1 Explor./Developmental Coop. Agreement **Federal Award Date:** 09/21/2016
Department of Health and Human Services
National Institutes of Health

OFFICE OF THE DIRECTOR, NATIONAL INSTITUTES OF HEALTH

Grant Number: 1UG3OD023344-01
FAIN: UG3OD023344

Principal Investigator(s):
Johnnye L Lewis, PHD

Project Title: Understanding Risk Gradients from Environment on Native American Child Health Trajectories: Toxicants, Immunomodulation, Metabolic syndromes, & Metals Exposure

Vinyard, Rena
Director
MSC09 5220
1 University of New Mexico
Albuquerque, NM 871310001

Award e-mailed to: HSC-Preaward@salud.unm.edu

Period Of Performance:
Budget Period: 09/21/2016 – 08/31/2017
Project Period: 09/21/2016 – 08/31/2018

Dear Business Official:

The National Institutes of Health hereby awards a grant in the amount of $1,075,566 (see "Award Calculation" in Section I and "Terms and Conditions" in Section III) to UNIVERSITY OF NEW MEXICO HEALTH SCIS CTR in support of the above referenced project. This award is pursuant to the authority of 42 USC 241 42 CFR PART 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 grantee when funds are drawn down or otherwise obtained 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 Office Of The Director, National Institutes Of Health of the National Institutes of Health under Award Number UG3OD023344. 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 contact the individual(s) referenced in Section IV.

Sincerely yours,

Michael W. Fato
Grants Management Officer
OFFICE OF THE DIRECTOR, NATIONAL INSTITUTES OF HEALTH

Additional information follows

SECTION I – AWARD DATA – 1UG3OD023344-01

Award Calculation (U.S. Dollars)

Salaries and Wages	$254,841
Fringe Benefits	$83,877
Consultant Services	$16,000
Equipment	$13,000
Materials & Supplies	$38,400
Travel	$25,206
Other	$3,450
Subawards/Consortium/Contractual Costs	$377,572
Equipment or Facility Rental/User Fees	$5,450
Federal Direct Costs	$817,796
Federal F&A Costs	$257,770
Approved Budget	$1,075,566
Total Amount of Federal Funds Obligated (Federal Share)	$1,075,566
TOTAL FEDERAL AWARD AMOUNT	$1,075,566
AMOUNT OF THIS ACTION (FEDERAL SHARE)	$1,075,566

SUMMARY TOTALS FOR ALL YEARS		
YR	**THIS AWARD**	**CUMULATIVE TOTALS**
1	$1,075,566	$1,075,566
2	$3,331,533	$3,331,533

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

Fiscal Information:

CFDA Name:	Trans-NIH Research Support
CFDA Number:	93.310
EIN:	1856000642A1
Document Number:	UOD023344A
PMS Account Type:	P (Subaccount)
Fiscal Year:	2016

IC	CAN	2016	2017
OD	8025163	$1,075,566	$3,331,533

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

NIH Administrative Data:
PCC: ECHOPCA / **OC**: 414L / **Released**: KITSOULISR 09/15/2016
Award Processed: 09/21/2016 12:10:43 AM

SECTION II – PAYMENT/HOTLINE INFORMATION – 1UG3OD023344-01

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 – TERMS AND CONDITIONS – 1UG3OD023344-01

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 receive a Dun & Bradstreet Universal Numbering System (DUNS) number and maintain an active registration in the System for Award Management (SAM). Should a consortium/subaward be issued under this award, a DUNS 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) UG3OD023344. 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/.

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 NIH fellowships.

Treatment of Program Income:
Additional Costs

No overhead costs associated with the CDC on this award may be expended per letter from Stacy Bigbie dated September 15, 2016.
**

In addition to the PI, any absence, replacement, or substantial reduction in effort of the following individual(s) below, requires the written prior approval of the National Institutes of Health awarding component.

Dr. Courtney Burnette
Dr. Debra MacKenzie
Dr. Esther Erdei
Dr. David Begay
***
Based on guidance that NIH Program Staff will provide, PD/PIs will submit a revised set of specific aims and research plan, for NIH ECHO program review, on or before November 15, 2016. In addition, the PD/PIs will design milestones and must submit the final version to the NIH Program Officer and Grants Management Specialist by **01/09/2017**. After review and approval by the NIH, the final research plan and set of approved milestones will be specified in a revised Notice of Award.

Prior to transitioning to the UH3 phase, this project must demonstrate the successful completion of the agreed upon milestones. Other programmatic criteria that will affect the transition from the UG3 phase to the UH3 phase will include contributions to the larger goals of ECHO, the availability of NIH funds, NIH program priorities, and NIH leadership approval.
**
Funding amounts for the -02 budget period reflect a reduction of funds requested in the application submitted. Please be advised these amounts reflect an estimate and actual dollar amounts will be negotiated prior to the -02 Notice of Award. Future year funding is contingent on the Grantee's progress in the -01 budget period and will be determined on an annual basis.
**
Funding for the -02 budget period is contingent upon the Grantee's written concurrence to accept the Standard Operating Procedures developed by the ECHO Coordinating Center and the ECHO Steering Committee.
**
This award includes funds awarded for subrecipient activity with **Navajo Nation Department of Health** in the amount of **$133,413** (**$113,853** direct costs + **$19,560** facilities and administrative costs).
This award includes funds awarded for subrecipient activity with **University of California, San Francisco** in the amount of **$160,819** (**$102,760** direct costs + **$58,059** facilities and administrative costs).
This award includes funds awarded for subrecipient activity with **Southwest Research & Information Center** (SRIC) in the amount of **$83,340** (**$69,450** direct costs + **$13,890** facilities and administrative costs).

Consortiums are to be established and administered as described in the NIH Grants Policy Statement (NIH GPS). The referenced section of the NIH Grants Policy Statement is available at http://grants.nih.gov/grants/policy/nihgps/HTML5/section_15/15_consortium_agreements.htm.
**
The budget period anniversary start date for future year(s) will be September 1.
**
This award is issued as a Cooperative Agreement, a financial assistance mechanism in which substantial NIH scientific and/or programmatic involvement is anticipated in the performance of the activity. This award is subject to the Terms and Conditions of Award as set forth in Section VI: Award Administrative Information of **RFA OD-16-004, "Environmental Influences on Child Health Outcomes (ECHO) Pediatric Cohorts (UG3/UH3),"** posted date 12/07/2015, and in accordance with the modifications to the Terms and Conditions of Award accepted by **Stacy Bigby/Dr. Johnnye L. Lewis** dated **09/13/2016** which are included below.
This RFA may be accessed at: http://grants.nih.gov/grants/guide/rfa-files/RFA-OD-16-004.html
Cooperative Agreement Terms and Conditions of Award
The following special terms of award are in addition to, and not in lieu of, otherwise applicable U.S. Office of Management and Budget (OMB) administrative guidelines, U.S. Department of

Health and Human Services (DHHS) grant administration regulations at 45 CFR Part 75, and other DHHS, PHS, and NIH grant administration policies.

The administrative and funding instrument used for this program will be the cooperative agreement, an "assistance" mechanism (rather than an "acquisition" mechanism), in which substantial NIH programmatic involvement with the awardees is anticipated during the performance of the activities. Under the cooperative agreement, the NIH purpose is to support and stimulate the recipients' activities by involvement in and otherwise working jointly with the award recipients in a partnership role; it is not to assume direction, prime responsibility, or a dominant role in the activities. Consistent with this concept, the dominant role and prime responsibility resides with the awardees for the project as a whole, although specific tasks and activities may be shared among the awardees and the NIH as defined below.

The PD(s)/PI(s) will have the primary responsibility for:

- Directing the activities of the ECHO Extant Cohort, including: (i) establishing and implementing processes for decision-making, communication and collaboration; (ii) establishing and implementing processes and systems for tracking the implementation of Cohort support functions, identifying problems/deficiencies, and determining the need for and implementing corrective actions; (iii) assessing and allocating resources, reviewing their adequacy, and determining needed adjustments; (iv) establishing and implementing financial management capacity and systems to track and project Center resources and expenditures; (v) implementing and managing an information system to support day-to-day Center activities; (vi) establishing and managing portals for ECHO Extant Cohort study-specific documents/materials; (vii) reporting to and obtaining input from the ECHO Steering Committee (including the Executive Committee), The External Scientific Board, the ECHO Coordinating Center PD/PI, the ECHO Data Analysis Center PD/PI, the ECHO Genetics Core PD/PI, the ECHO PRO Core PD/PI, the ECHO CHEAR Core PD/PI, the IDeA States Pediatric Clinical Trials Network PD/PI, and the IDeA States Pediatric Clinical Trials Network DCOC PD/PI; (viii) establishing procedures and metrics for assessing Pediatric Cohort progress and productivity.
- Implementing the full scope of Cohort-relevant ECHO coordination activities, as supported by the Coordinating Center, including standardization, quality assurance and quality control for the collection of core outcomes by all ECHO Pediatric Cohorts; ensuring appropriate handling and tabulation for biospecimens to be transferred to central ECHO laboratories and for biospecimens to be stored in biorepositories; ensuring appropriate and effective coordination and collaboration across all ECHO cohorts and within ECHO scientific focus areas, and with the NIH ECHO Program Director and the NIH ECHO Team, the ECHO Steering Committee, the ECHO Coordinating Center, the ECHO Data Coordination Center PD/PI, the ECHO Data Analysis Center PD/PI, the ECHO Genotyping Core PD/PI, the ECHO PRO Core PD/PI, and the ECHO CHEAR Core PD/PI; and ensuring that the performance of support functions complies with all Federal and, where appropriate, Nation-specific regulatory requirements and guidelines for the conduct of human subjects research, as well as NIH policies and procedures.
- Providing reports to the NIH ECHO Program Director and the NIH ECHO Team, the Coordinating Center, Data Analysis Center, and others regarding overall ECHO activities (e.g. tabular summaries of study progress, protocol deviation and site monitoring reports), as well as budgetary summaries as requested.
- Ensuring the appropriate training/certification of Pediatric Cohort staff designated to provide support, and including a list of all training programs and written assessments in the Annual Progress Report.
- Ensuring that data generated under the support of ECHO will follow the FAIR principles of Find, Access, Interoperate and Reuse, as appropriate, and become publicly accessible to outside investigators, through the ECHO database, within a pre-specified period that will be negotiated with the NIH ECHO Program Director.

NIH staff have substantial programmatic involvement that is above and beyond the normal stewardship role in awards, as described below:

NIH assistance to the ECHO operations will be provided by the ECHO Program Director and the NIH ECHO Team, as well as by NIH Project Scientists or other NIH staff that may be assigned to across-ECHO studies or studies within one of the four ECHO scientific focus areas. NIH staff will have substantial scientific/programmatic involvement during the conduct of this activity through technical assistance, advice and coordination above and beyond the normal program stewardship role for grants. It is anticipated that decisions regarding the Pediatric Cohort activities will be

reached by consensus and that the NIH staff members will participate in this process. In various matters related to study approval and oversight, the NIH staff will have final decision authority, as described below:

- Concept Proposals and Study Protocols: NIH Project Scientists will: (i) participate in the development, review and approval of the concept proposals and research protocols of all across-ECHO studies and of ECHO-supported studies that will entail a particular ECHO scientific focus area; (ii) provide final approval prior to initiation for across-ECHO studies as well as for ECHO-supported studies within each ECHO scientific focus area; (iii) approve timelines for protocol development, implementation and completion; (iv) participate in the data analysis process and the development of manuscripts resulting from ECHO-supported studies.
- Study Monitoring and Management: (i) The NIH ECHO Team and NIH Project Scientists, through the ECHO Coordinating Center, will monitor compliance with OHRP and NIH requirements for human subject research, accurate protocol implementation and internal quality assurance across all ECHO-supported studies. This includes: participating in the development of and approving Data and Safety Monitoring Plans prior to study initiation; determining the need to conduct for-cause clinical site visits, participating in such visits, and approving recommendations for remedial actions. (ii) NIH staff will participate in ECHO Study Management Teams to manage the day-to-day implementation of ECHO-supported studies that will be conducted across all ECHO Pediatric Cohorts or across-Cohort studies that address an ECHO scientific focus area.
- IND/IDE Sponsorship: Aside from the IDeA States Pediatric Clinical Trials Network, the ECHO Pediatric Cohort sites are not likely to conduct clinical trials requiring IND/IDE sponsorship. However, in the rare event that this becomes a necessity, the ECHO NIH Program Director will determine on a case by case basis whether the regulatory sponsor for a clinical trial conducted under IND/IDE will be an NIH IC or an ECHO Pediatric Cohort Investigator. If the regulatory sponsorship responsibility is assigned to a NIH IC, NIH Project Scientists/Medical Monitors will obtain, through the ECHO Coordinating Center and the ECHO Data Analysis Center, regular reports on serious adverse events and protocol deviations, and will decide on the final disposition of SAE Reports for all IND/IDE studies.
- Study Termination: NIH reserves the right to terminate, curtail or suspend an ECHO-supported study for any reason, including but not limited to risks to subject safety, occurrence of unforeseen safety or ethical issues, scientific question is no longer relevant or the objectives will not be met, failure to comply with Federal regulations or Terms and Conditions of Award, and reaching a major study endpoint before schedule with persuasive statistical significance.
- Access to Data: The NIH ECHO Team and NIH Project Scientists will have the right of access to all data (raw and analyzed) generated under this cooperative agreement and may periodically review these data.
- Grant Stewardship: Additionally, a NIH program official or IC program director will be responsible for the normal scientific and programmatic stewardship of the award and will be named in the award notice.
- The ECHO NIH Program Director will establish an ECHO External Scientific Board. The External Scientific Board will submit its recommendations to the ECHO NIH Program Director, who will then inform the members of the ECHO Steering Committee. Recommendations by the External Scientific Board are advisory.

Areas of Joint Responsibility include:

- The NIH ECHO Program Director and the NIH ECHO Team in collaboration with the PDs/PIs of all ECHO awards, will participate in deliberations and decision-making regarding the multiple substantive, operational, financial and administrative responsibilities of this NIH initiative.
- NIH Project Scientists and/or their designees will collaborate with ECHO Pediatric Cohort staff to ensure the provision of appropriate information, materials and training regarding NIH policies and procedures for the conduct of human subject research.
- Close interactions amongst the awardee, awardees from the companion FOAs, and NIH will be required. Shortly after the award, the PDs/PIs and NIH program staff will form the ECHO Steering Committee, which ultimately will report to the NIH Director.

ECHO Steering Committee

- The ECHO Steering Committee will be co-chaired by the NIH ECHO Program Director, the PI/PD of the Coordinating Center, and the PI/PD of the Data Analysis Center. It also will be composed of the PIs/PDs of the PRO Core, CHEAR Core, the Genetics Core, the IDeA States Pediatric Clinical Trials Network DCOC, and each of the cohort sites, who all will have 1 vote. The NIH ECHO Program Director and the NIH ECHO Team will serve as non-voting members of the ECHO Steering Committee.
- An Executive Committee of the Steering Committee also will be established, and will be composed of the three co-chairs and a representative from each of the funded elements – one each from the PRO Core, the Genetics Core, CHEAR Core, and the IDeA States Pediatric Clinical Trials Network DCOC, as well as one PI/PD collectively representing the cohort sites.
- The Executive Committee will invite expert consultants as needed, coordinate with the External Scientific Board, assist as necessary with annual progress reports, and appoint and charge members of subcommittees
- These subcommittees will facilitate development, implementation, and monitoring of specific ECHO functions as needed. Suggested subcommittees include:
    - § Data Measurement and Sharing: members from each cohort site, the CC, the DAC, and the PRO Core; responsible for selecting core measures and establishing protocols for data collection, quality control (QC), and sharing; CC and DAC would implement the protocols, conduct training and QC, etc.
    - § Biostatistics and Design: members from each cohort site, the CC, the DAC, and the PRO Core; responsible for (1) developing analysis plans for each of the core measures, including biospecimens and environmental samples, (2) reviewing and providing advice on the analysis plans for each of the participating cohorts, (3) conducting methods research based on issues that arise during the course of the project, (4) serve as a consulting body for any of the PDs/PIs seeking input on analysis issues
    - § Publications: members from each cohort site, CC, DAC, and the PRO Core; responsible for developing publication policies and procedures, review of abstract and manuscript proposals for cross-project papers and presentations, review of proposed ancillary studies, and review of proposed pilot studies
    - § Focus Areas: members from the cohorts in each Focus Area and the CC; separate subcommittees for each of the 4 Focus Areas to support regular interactions among investigators interested in the same Focus Areas
    - § Project Coordinators: members would include the coordinators from the cohort sites and a CC representative; meet regularly for exchange of information about their studies, and help each other identify best practices for a variety of logistical issues including retention, training, data collection, etc.
    - § IDeA States Network: members from the participating IDeA states sites, IDeA states DCOC, and the CC; meeting regularly for exchange of information about their projects, best practices, etc.
- Key personnel will be expected to serve on subcommittees, as appropriate, according to their expertise.
- The Steering Committee will meet in person quarterly during the first year and at least annually thereafter. Monthly teleconferences will be held for the Steering Committee and its subcommittees, and these may be more frequent at times to facilitate planning, etc. The Coordinating Center (CC) will be responsible for arranging and facilitating the meeting and teleconferences. Applicants should plan to attend an initial planning meeting of the Steering Committee in Bethesda, Maryland in fall 2016.
- The Steering Committee will have responsibility for developing the overall scientific direction of the program; assuring compliance with program policies and procedures; designing study protocols; implementing studies; ensuring data quality and completeness; planning for analysis and interpretation of data; and reporting results in presentations and publications.
- The Steering Committee must work cooperatively and interactively during the first year to develop the final protocols and all of the materials necessary to begin the prospective human studies within 12-18 months after award. The final plan, with a study timeline and milestones, will be submitted and must be approved by the NIH ECHO Program Director and the NIH Director, with involvement of the NIH ECHO Team and relevant IC program staff, before the second year of funds will be awarded.
- First year planning activities include, but are not limited to:
- Developing clinical and laboratory protocols and plans for data collection and management

- Standardizing collection of core data elements
- Overseeing plans to address the various bio-ethical issues and concerns (e.g., handling of sensitive data, participatory risk, involvement of vulnerable populations, incidental findings) that are likely to arise during the conduct of the research
- Obtaining approvals as needed at the ECHO Pediatric Cohort site institutions, such as IRB approvals
- Preparing a Manual of Operations with primary responsibility residing with the CC
- Developing a detailed plan for storage and shipping of all biospecimens
- Developing detailed plans for the thorough analysis of data
- Agreeing to abide by a common data sharing plan
- Developing a detailed timeline with concrete milestones for the entire study

External Scientific Board

- Five to seven external experts will serve as the External Scientific Board (ESB), and will be selected and appointed by the NIH ECHO Program Director and NIH Director.
- The ESB will review and offer input on ECHO structure, function, and studies, both during protocol development and during the analysis of results. Members of the Board will provide input based on their individual areas of expertise, as needed over the course of the program. They will assist the NIH regarding processes and substantive issues that arise during the project and will help ensure that the resources to be delivered by the program are as useful as possible for the end users.
- External Scientific Board members may be invited to attend some ECHO Steering Committee meetings.

Data and Safety Monitoring Board

- In the event the ECHO activities include clinical trials, an independent Data and Safety Monitoring Board (DSMB) will be established to monitor and provide recommendations to the NIH regarding participant recruitment/enrollment, safety, data quality, and other issues, as appropriate. The DSMB will also review the Steering Committee-approved common protocol, informed consent templates, milestones, and monitoring plans prior to the start of recruitment. It is recommended that, if possible, a single central Institutional Review Board (IRB) is used to streamline the protocol approval process and to standardize the monitoring of human subjects' protection in the ECHO program.

Development of Milestones

- Because this Consortium will require specific achievable goals (e.g., timely recruitment of participants, expected annual throughput), milestones should be proposed by the applicant. Milestones are goals that are quantifiable for measuring success, and include associated annual or semi-annual quantitative criteria.
- Final milestones will be designed during the first year in the planning phase. After review and approval by the NIH, the final set of approved milestones will be specified in the Notice of Award.
- Progress towards achieving the final set of milestones will be evaluated by NIH program staff on an annual basis. If justified, future year milestones may be revised based on data and information obtained during the previous year. If, based on the progress report, the project does not meet the milestones, funding for the project may be either restricted or discontinued.

Dispute Resolution:
Any disagreements that may arise in scientific or programmatic matters (within the scope of the ECHO awards) between award recipients and the NIH may be brought to Dispute Resolution. A Dispute Resolution Panel composed of three members will be convened. The panel members will be a designee of the ECHO Steering Committee, one NIH designee, and a third designee with expertise in the relevant area who is chosen by the other two; in the case of individual disagreement, the first member may be chosen by the individual awardee. This special dispute resolution procedure does not alter the awardee's right to appeal an adverse action that is otherwise appealable in accordance with PHS regulation 42 CFR Part 50, Subpart D and DHHS regulation 45 CFR Part 16

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 made via e-mail.

Grants Management Specialist: Tina M. Carlisle
Email: carlislt@niaid.nih.gov **Phone**: 240-669-2947 **Fax**: 301-493-0597

Program Official: Matthew William Gillman
Email: matthew.gillman@nih.gov **Phone**: 301 435 5236 **Fax**: 301 594 5669

SPREADSHEET SUMMARY
GRANT NUMBER: 1UG3OD023344-01

INSTITUTION: UNIVERSITY OF NEW MEXICO HEALTH SCIS CTR

Budget	Year 1	Year 2
Salaries and Wages	$254,841	$511,885
Fringe Benefits	$83,877	$174,482
Consultant Services	$16,000	$797,355
Equipment	$13,000	$57,680
Materials & Supplies	$38,400	$82,519
Travel	$25,206	$38,178
Other	$3,450	$8,277
Subawards/Consortium/Contractual Costs	$377,572	$818,292
Equipment or Facility Rental/User Fees	$5,450	$11,536
TOTAL FEDERAL DC	$817,796	$2,500,204
TOTAL FEDERAL F&A	$257,770	$831,329
TOTAL COST	$1,075,566	$3,331,533

Facilities and Administrative Costs	Year 1	Year 2
F&A Cost Rate 1	51.5%	51.5%
F&A Cost Base 1	$500,524	$1,614,232
F&A Costs 1	$257,770	$831,329

UNM COLLEGE of PHARMACY

11/29/2016

Honorable Russell Begaye
President, Navajo Nation

Mr. President,

This letter serves to acknowledge that the NNDOH subaward agreement number 3RBL1 (Federal Award number 1UG3OD023344-01 issued to Dr. Johnnye Lewis at the University of New Mexico has been modified by budget category in order to increase salary dollars to better meet the needs of the project. Other categories, including office supplies have been reduced accordingly. These changes *are within NIH guidelines and do not reflect "significant re-budgeting"* defined by NIH as when expenditures in a single direct cost budget category deviate (increase or decrease) from the categorical commitment level established for the budget period by 25 percent or more of the total costs awarded. For the subaward to NNDOH, total costs awarded are $133,413, therefore increases or decreases within a given budget category (for example salary or supplies) should not exceed more 25% of the award amount, which for this award would be changes greater than $33,353.00 in a given category.

Category	Proposed Budget	Submitted Budget	$ difference
Personnel and Fringe	$65,477	$81,364	$15,887
Travel	$22,656	$15,383	($7,273)
Other	$25,720	$19,997	($5,723)
Total Direct Costs	$113,853	$116,745	
Indirect costs (17.18%)	$19,560	$16,669*	
Total Award	$133,413	$133,413	$0

*Direct cost base altered to reflect the fact that the incentive payments budgeted at $19,720, included in the "other" category are not subject to IDC.
If you have questions regarding these changes, please feel free to contact the Principal Investigator, Dr. Johnnye Lewis, or the co-Investigator Dr. Debra MacKenzie (505-272-6535) for clarification.

Sincerely,

Dr. Johnnye Lewis
Director, Community Environmental Health Program
jlewis@cybermesa.com 505-272-8250

Ms. Sandy Sacher
Sponsored Projects Officer
UNM HSC Pre-Award Office

EXHIBIT
tabbies
B

FDP Cost Reimbursement Research Subaward Agreemer

Pass-through Entity (PTE): The Regents of the University of New Mexico, HSC		Subrecipient: The Navajo Nation Tribal Government	
PTE Principal Investigator (PI): Johnnye Lewis		Subrecipient Principal Investigator (PI): Mae-Gilene Begay	
PTE Federal Award No: 1UG3OD023344-01	FAIN: UG3OD023344		Federal Awarding Agency: NIH/Office of the Director
Federal Award Issue Date: Sep 21, 2016	Total Amount of Federal Award to PTE $ $ 1,075,566.00	CFDA No: 93.310	CFDA Title: Trans-NIH Research Support

Project Title: Understanding Risk Gradients from Environment on Native American Child Health Trajectories: Toxicants, Immunomodulation, Metabolic syndroms, & Metals Exposure

Subaward Period of Performance:	Amount Funded This Action:	Subaward No.
Start: 09/21/2016 End: 08/31/2017	$ $ 133,413.00	3RBL1

Estimated Project Period (if incrementally funded):	Incrementally Estimated Total:	Is this Award R & D
Start: End:	$	■ Yes or ☐ No

Check all that apply ☑ Reporting Requirements (Attachment 4) ☑ Subject to FFATA (Attachment 3B) ☐ Cost Sharing (Attachment 5)

Terms and Conditions

1) PTE hereby awards a cost reimbursable subaward, as described above, to Subrecipient. The statement of work and budget for this subaward are (check one) ☐ as specified in Subrecipient's proposal dated or ☑ as shown in Attachment 5. In its performance of subaward work, Subrecipient shall be an independent entity and not an employee or agent of PTE.

2) PTE shall reimburse Subrecipient not more often than monthly for allowable costs. All invoices shall be submitted using Subrecipient's standard invoice, but at a minimum shall include current and cumulative costs (including cost sharing), subaward number, and certification, as required in 2 CFR 200.415 (a). Invoices that do not reference PTE Subaward number shall be returned to Subrecipient. Invoices and questions concerning invoice receipt or payments should be directed to the appropriate party's Financial Contact, as shown in Attachments 3A.

3) A final statement of cumulative costs incurred, including cost sharing, marked "FINAL" must be submitted to PTE's Financial Contact, as shown in Attachments 3A, NOT LATER THAN 45 days after subaward 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. PTE reserves the right to reject an invoice, in accordance with 2 CFR 200.305.

5) Matters concerning the technical performance of this subaward should be directed to the appropriate party's Principal Investigator as shown in Attachments 3A and 3B. Technical reports are required as shown above, "Reporting Requirements."

6) Matters concerning the request or negotiation of any changes in the terms, conditions, or amounts cited in this subaward agreement, and any changes requiring prior approval, should be directed to the appropriate party's Administrative Contact, as shown in Attachments 3A and 3B. Any such changes made to this subaward agreement require the written approval of each party's Authorized Official, as shown in Attachments 3A and 3B.

7) Substantive changes made to this subaward agreement require the written approval of each party's Authorized Official as shown in Attachments 3A and 3B. The PTE may issue non-substantive changes to the Period of Performance (check one) ☐ Bilaterally, or ☑ Unilaterally. Unilateral modifications shall be considered valid 14 days after receipt unless otherwise indicated by Subrecipient.

8) Each party shall be responsible for its negligent acts or omissions and the negligent acts or omissions of its employees, officers, or directors, to the extent allowed by law.

9) Either party may terminate this subaward with thirty days written notice to the appropriate party's Authorized Official Contact, as shown in Attachments 3A and 3B. PTE shall pay Subrecipient for termination costs as allowable under Uniform Guidance, 2 CFR 200, or 45 CFR Part 74 Appendix E, "Principles for Determining Costs Applicable to Research & Development under Grants and Contracts with Hospitals, as applicable.

10) No-cost extensions require the approval of the PTE. Any requests for a no-cost extension should be addressed to and received by the Authorized Official Contact, as shown in Attachments 3A, not less than 30 days prior to the desired effective date of the requested change.

11) The Subaward is subject to the terms and conditions of the PTE Award and other special terms and conditions, as identified in Attachment 2.

12) By signing this Research Subaward Agreement Subrecipient makes the certifications and assurances shown in Attachments 1 and 2.

13) Research Terms & Conditions – RESERVED

By an Authorized Official of Pass-through Entity:	By an Authorized Official of Subrecipient:
Name: Stacy Bigbie Date	Name: Russell Begaye Date
Title: Associate Director, Sponsored Projects	Title: President 12/22/14

Attachment 1
Research Subaward Agreement
Certifications and Assurances

By signing the Subaward Agreement, the Authorized Official of Subrecipient certifies, to the best of his/her knowledge and belief, that:

Certification Regarding Lobbying

1) 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.

2) 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 Pass-through Entity.

3) The Subrecipient shall require that the language of this certification 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.

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, title 31, 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.

Debarment, Suspension, and Other Responsibility Matters

Subrecipient certifies by signing this Subaward Agreement that neither it 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.

Audit and Access to Records

Subrecipient certifies by signing this Subaward Agreement that it complies with the Uniform Guidance, will provide notice of the completion of required audits and any adverse findings which impact this subaward as required by parts 200.501-200.521, and will provide access to records as required by parts 200.336, 200.337, and 200.201 as applicable.

Subrecipient also assures that it will comply with applicable statutory and regulatory requirements specified in the Research Terms & Conditions Appendix C found at hhp://www.nsf.gov/bfa/dias/policy/fedrtc/appc_apr14.pdf, as may be further updated or revised.

Attachment 2
Research Subaward Agreement
Copy of Prime Award Terms and Conditions

Prime award is incorporated as attachment 9

Special terms and conditions:

1. *Copyrights*
   Subrecipient ☑ *grants /* ☐ *shall grant (check one) to Prime Recipient 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 Agreement solely for the purpose of and only to the extent required to meet Prime Recipient's obligations to the Federal Government under its Prime Award.*

2. *Data Rights*
   Subrecipient grants to Prime Recipient the right to use data created in the performance of this Subaward Agreement solely for the purpose of and only to the extent required to meet Prime Recipient's obligations to the Federal Government under its Prime Award.

3. *Automatic Carry Forward:* [☐] *Yes* [☑] *No*
   (If No, Carry Forward requests must be sent to Prime Recipient's Authorized Official contact, as shown in Attachment 3).

Additional Special Terms:

Consolidated Appropriations Act:

Subrecipient affirms that they are in compliance with the Federal Government's most current Consolidated Appropriations Act, including most current executive salary cap that applies to Prime Notice of Award.

NIH-Specific Requirements Promoting Objectivity in Research Applicable to Subrecipients (42 CFR Part 50 Subpart F)

a) 42 CFR Part 50. 604 requires that institutions conducting PHS-funded research "Maintain an up-to-date, written, enforced policy on financial conflicts of interest." Further, "If the Institution carries out the PHS-funded research through a subrecipient (e.g., subcontractors or consortium members), the Institution (awardee Institution) must take reasonable steps to ensure that any subrecipient Investigator complies with this subpart by incorporating as part of a written agreement with the subrecipient terms that establish whether the financial conflicts of interest policy of the awardee Institution or that of the subrecipient will apply to the subrecipient's Investigators."

b) Subrecipient must designate herein whether the financial conflicts of interest policy of ☐ Prime Recipient, or ☑ Subrecipient Institution (check one) will apply, and, by execution of this Subaward Agreement, Subrecipient Institution certifies that its financial conflict of interest policy complies with 42 CFT Part 50.

c) Subrecipient shall report any financial conflict of interest to UNM HSC Conflict of Interest Committee at HSC-COI@salud.unm.edu. Any financial conflicts of interest identified shall subsequently be reported to NIH. Such report shall be made before expenditure of funds authorized in this Subrecipient Agreement and within 45 days of any subsequently identified financial conflict of interest.

Attachment 3A
Research Subaward Agreement

Subaward Number: 3RBL1

Pass-through Entity Contacts

Pass-through Entity

Name: University of New Mexico Health Sciences Center
Address: Financial Services
MSC09 5220, 1 University of New Mexico
City: Albuquerque State: NM Zip Code: 87131-0001

Pass-through Entity's Administrative Contact

Name: Stacy Bigbie
Address: Sponsored Projects Office
MSC09 5220
1 University of New Mexico
City: Albuquerque State: NM Zip Code: 87131-0001
Telephone: (505) 272-9448 Fax:
E-mail: HSC-Preaward@salud.unm.edu

Pass-through Entity's Principal Investigator

Name: Dr. Johnnye Lewis
Address: MSC09 5360
1 University of New Mexico
City: Albuquerque State: NM Zip Code: 87131-0001
Telephone: (505) 272-9383 Fax:
E-mail: anchelettasprings@icloud.com

Pass-through Entity's Financial Contact

Name: ATTN: Accounting Manager
Address: HSC Contract and Grant Accounting
MSC09 5225
1 University of New Mexico
City: Albuquerque State: NM Zip Code: 87131-0001
Telephone: (505) 272-9383 Fax: (505) 272-0159
E-mail: HSC-HSCAR@salud.unm.edu

Pass-through Entity's Authorized Official

Name: Stacy Bigbie
Address: Financial Services, HSC
MSC09 5220
1 University of New Mexico
City: Albuquerque State: NM Zip Code: 87131-0001
Telephone: (505) 272-9448 Fax:
E-mail: HSC-PreAward@salud.unm.edu

Attachment 3B Subaward Number: 3RBL1

Research Subaward Agreement

Subrecipient Contacts

Subrecipient Place of Performance

Name: The Navajo Nation

Address: P.O. Box 3150

City: Window Rock State: AZ Zip Code + 4: (Look up) 86515-3150

EIN No.: 86-0092335 Institution Type:

Is Subrecipient currently registered in SAM? ☑ Yes ☐ No

Is Subrecipient exempt from reporting compensation? ☐ Yes ☑ No

If no , please complete 3B page 2

DUNS No.: 009001702 Parent DUNS No.: Congressional District: Congressional District:

Subrecipient Administrative Contact

Name: Mae-Gilene Begay

Address: P.O. Box 2280

City: Window Rock State: AZ Zip Code: 86515

Telephone: (928) 871-6786 Fax: (928) 871-6255

E-mail: Mae-Gilene.Begay@nndoh.org

Subrecipient Principal Investigator (PI)

Name: Mae-Gilene Begay

Address: P.O. Box 2280

City: Window Rock State: AZ Zip Code + 4: 86515-2280

Telephone: (928) 871-6786 Fax: (928) 871-6255

E-mail: Mae-Gilene.Begay@nndoh.org

Subrecipient Financial Contact

Name: Laura Johnson, Accounting Manager

Address: P.O. Box 3150

City: Window Rock State: AZ Zip Code: 86515

Telephone: (928) 871-6510 Fax:

E-mail: lajohnson@nnooc.org

Subrecipient Authorized Official

Name: Honorable Mr. Russell Begay, Navajo Nation President

Address: P.O. Box 7440

City: Window Rock State: AZ Zip Code: 86515

Telephone: (928) 871-7000 Fax: (928) 871-4025

E-mail:

Subrecipient

Name: Navajo Department of Health / Navajo Birth Cohort Study

PI: Mae-Gilene Begay

Highest Compensated Officers

The names and total compensation of the five most highly compensated officers of the entity(ies) must be listed if the entity in the preceding fiscal year received 80 percent or more of its annual gross revenues in Federal awards; and $25,000,000 or more in annual gross revenues from Federal awards; and the public does not have access to this information about the compensation of the senior executives of the entity through periodic reports filed under section 13(a) or 15(d) of the Securities Exchange Act of 1934 (15 U.S.C. §§ 78m(a), 78o(d)) or section 6104 of the Internal Revenue Code of 1986. See FFATA § 2(b)(1) Internal Revenue Code of 1986.

Officer 1 Name

Officer 1 Compensation

Officer 2 Name

Officer 2 Compensation

Officer 3 Name

Officer 3 Compensation

Officer 4 Name

Officer 4 Compensation

Officer 5 Name

Officer 5 Compensation

Attachment 4
Research Subaward Agreement
Reporting Requirements

Pass-through Entity will check all that apply that the Subrecipient will agree to:

☑ A Final technical/progress report will be submitted to the Pass-through Entity's Principal Investigator identified in Attachment 3 within 60 days after the end of the period of performance.

☐ Monthly technical/progress reports will be submitted to the Pass-through Entity's Principal Investigator identified in Attachment 3, within 15 days of the end of the month.

☐ Quarterly technical/progress reports will be submitted within thirty (30) days after the end of each project quarter to the Pass-through Entity's Principal Investigator identified in Attachment 3.

☐ Technical/progress reports on the project as may be required by Pass-through Entity's Principal Investigator in order that Pass-through Entity may be able to satisfy its reporting obligations to the Federal Awarding Agency.

☑ Annual technical /progress reports will be submitted within 90 days prior to the end of each project period to the Pass-through Entity's Principal Investigator identified in Attachment 3. 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.

☑ In accordance with 37 CFR 401.14, Subrecipient agrees to notify PTE's Financial Contact identified in Attachment 3A within 30 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 Awarding Agency specific forms to the PTE's Principal Investigator identified in Attachment 3A within 60 days of the end of the period of performance so that it may be included with the PTE's final invention report to the Awarding Agency. A negative report [✓] is [ ] is not required.

☐ A Certification of Completion, in accordance with 2 CFR 200.201(b)(3), will be submitted within 90 days after the end of the project period to the Pass Through Entity 's Administrative Contact identified in Attachment 3 (for Fixed Price subawards only.)

☑ Property Inventory Report; frequency, type, and submission instructions listed here and only to be used when required by PTE Federal Award To be included with final invention report to PTE's Financial Contact

Other Special Reporting Requirements

Conflict of Interest Reporting as needed should be emailed to HSC-COI@salud.unm.edu

Attachment 5

Cost Reimbursement Research Subaward Agreement

Statement of Work(SOW) | Cost Sharing | Budget

Research Statement of Work

Below ☑ or ☐ Attached pages

If award is FFATA eligible and SOW exceeds 4000 characters, include a *Subrecipient Federal Award Project Description*

Navajo Nation Department of Health

NNDOH will provide overall program oversight and coordination; interface with the UNM CDD Clinical Fellows/psychometricians and with the Navajo Nation IRB and other agencies as needed to facilitate program activities and communicate the findings and needs of the study; provide administrative support for the CHERS team (track incentive purchases and reimbursements, perform personal and tribal vehicle reconciliations, make travel arrangements, coordinate schedules and home visits and maintain records as needed); and re-contact and consent NBCS participants into the ECHO study, coordinate hospital visits and sample collections, perform ASQ surveys and 4 year developmental assessment in conjunction with the UNM CDD Clinical Fellows; conduct community outreach efforts, promote and explain the study to community members.

Cost Sharing:	☐ Yes, Amount $	☑ No

Budget Information

Below ☑ or ☐ Attached pages

Personnel & Fringe	$81,364
Travel	$15,383
Other	$19,997
Total Direct Costs	$116,745
Indirect Costs (17.18%)	$16,669
Total Project Costs	$133,413

Indirect Cost Rate (IDC) Applied 17.18% on ☐ DC, ☑ MTDC , or ☐ other

☐ Check here if using other IDC rate of **00.0** %

Direct Costs	$ 116,745
Indirect Costs	$ 16,669
Total Costs	$ 133,413

Subaward No. 3RBL1

Attachment 6
Research Subaward Agreement
Sample Invoice

Name Of Subrecipient
Address of Subrecipient
Telephone:
Fax:

UNM Health Sciences Center
Financial Services Division
MSC09 5225
1 University of New Mexico
Albuquerque, NM 87131-0001

UNMHSC Subaward No.: 3RBL1

Email to:
HSC-HSCAR@salud.unm.edu

REIMBURSEMENT VOUCHER #
For the period _____

Major Cost Elements	**Budget Amount**	**Current Period Amount**	**Cumulative Amount**
Salaries/Wages:	$ 0.00		
Fringe Benefits:	0.00		
Supplies:	0.00		
Travel:	0.00		
Incentives:	0.00		
Equipment:	0.00		
Housing:	0.00		
Indirect Costs:	0.00		
TOTAL	$0.00		

I hereby certify that: (1) all expenditures reported are for appropriate purposes and in accordance with the agreements set forth in the application and award documents; (2)the most current executive salary cap level, mandated by the Consolidated Appropriation Act, is in use; and (3)that all required reports as shown in Attachment 4 have been submitted.

_____ _____
Signature **Name**

_____ _____
Title *Date*

By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

Subaward No.

Attachment 7
Research Subaward Agreement
Audit Compliance

Your institution is a recipient of federal funds awarded to the University of New Mexico Health Sciences Center as prime contractor during the fiscal year ending _____. We are requesting verification of compliance with the Uniform Guidance from our subrecipients so that UNM may meet its own audit requirements. Please have the appropriate party check the appropriate box below, sign, and return it, along with the remainder of the subcontract and its other attachments. A copy of the audit report is enclosed, or can be found at: _____

☐ Our audit report for the subject fiscal year has been completed. There were not any material weakness, material instances of noncompliance, or findings related to any subawards from UNM.

☐ Our audit report for the subject fiscal year has been completed. Material weakness, material instances of noncompliance, and/or findings were noted.

☐ Material findings identified ☐ did or ☐ did not relate to any subaward(s) from The University of New Mexico Health Sciences Center. Relevant findings, our responses and corrective action plan are discussed on page(s) _____

☐ Our audit report for the subject fiscal year has not yet been completed. We expect it to be completed on _____. Within thirty days of completion, we will provide you with written notification and, if material findings are reported related to subaward(s) from UNM HSC, we will send a copy of the audit report and corrective action plan.

☐ We are not subject to the requirements of the Uniform Guidance because:
Our organization is for-profit
Our organization expended less than $750,000 in Federal funds
Other (explain) _____.

Has your institution had turnover in personnel related to this award? Yes ☐ No ☐

Has your institution implemented any new or substantially changed systems related to this award? Yes ☐ No ☐

I certify that the above checked boxes characterize the position of the institution of which I am representative. Further, I certify that all relevant material findings contained in the audit report, if complete, have been disclosed.

Signature: _____
Date: _____
Name and Title: _____
Telephone: _____
Email: _____

Attachment 8
Research Subaward Agreement
Prime Award

Prime Award on Following Pages

Contracts and Grants Section - OMB
Calculation Check on Budget for IDC Recovery
Pursuant to Formula at Appendix L Section VI. B., of FY 2016 NN BIPM

Funding Contract: Ph 1 Explor / Developmental Coop Agreement

A	B	C	D	E
1	Acct./Category	Formula	IDC Cal. Check	Program Calculation
2	Total Award	From NOGA	133,413.00	25,000.00
3	Exclusion ***	See pg. 127 of BIPM	19,720.00	-
4				
5	IDC Base	(Row 2-3-4)	113,693.00	25,000.00
6	IDC rate	(1+IDC Rate)	1.1718	1.1000
7	Adj. IDC Base	(Row 5 / [1+IDC Rate])	97,024.24	22,727.27
8				
9	IDC Budget	(Row 5 - 7)	16,669	2,273

Legend:

Column B Row 3 - *** Includes Cap. Exp. >$5k, Welfare Assist., Scholarship, TANF; WIA, etc.
Ineligible-Subcontracts e.g., bldg. const., water/power line, PSC, 3rd Party, etc.

Script or Instructions on Filling out above Table:

Orange	Enter Name of Contract or Grant.
Green	Enter Total Amount of Funding Requested or Awarded.
Pink	Enter Total Amount of Exclusion / Passthrough.
Purple	Enter result of 1 + IDC Rate Allowed by Funding Agency.
Blue	IDC Recovery Amount that should be in the budget of Funding Application or Award.

FY __2017__

THE NAVAJO NATION
PROGRAM BUDGET SUMMARY

BUDGET FORM 1

PART I. Business Unit No.: New Program Title: CHR/Outreach Program - Birth Cohort Division/Branch: NDOH

Prepared By: Qeturah Anderson Phone No.: (928) 871-6263 Email Address: qeturah.anderson@nndoh.org

PART II. FUNDING SOURCE(S)	Fiscal Year Term	Amount	% of Total
NBCS/ECHO Study - UNM	9/21/16-8/31/17	133,413.00	100%
	TOTAL:	$133,413.00	100%

PART III. BUDGET SUMMARY	Fund Type Code	(A) NNC Approved Original Budget	(B) Proposed Budget	(C) Difference (Column B - A)
2001 Personnel Expenses	6		81,364	81,364
3000 Travel Expenses	6		15,383	15,383
3500 Meeting Expenses				0
4000 Supplies				0
5000 Lease and Rental				0
5500 Communications and Utilities				0
6000 Repairs and Maintenance				0
6500 Contractual Services				0
7000 Special Transactions	6		277	277
8000 Public Assistance	6		19,720	19,720
9000 Capital Outlay				0
9500 Matching Funds				0
9500 Indirect Cost	6		16,669	16,669
TOTAL		$0.00	133,413.00	133,413

PART IV. POSITIONS AND VEHICLES	(D)	(E)
Total # of Positions Budgeted:		3
Total # of Permanently Assigned Vehicles:		2

PART V. I HEREBY ACKNOWLEDGE THAT THE INFORMATION CONTAINED IN THIS BUDGET PACKAGE IS COMPLETE AND ACCURATE.

Mae-Gilene Begay, Dept. Manager II

SUBMITTED BY: Program Manager's Printed Name and Signature / Date

Ramona Antone-Nez, Executive Director 3/6/17

APPROVED BY: Division Director/Branch Chief's Printed Name and Signature / Date

FY __2017__

THE NAVAJO NATION
PROGRAM PERFORMANCE CRITERIA

BUDGET FORM 2

PART I. PROGRAM INFORMATION:

Business Unit No.: New

Program Name/Title: Navajo Birth Cohort Study/CHR Outreach Program

PART II. PLAN OF OPERATION REFERENCE/LEGISLATED PROGRAM PURPOSE:

NNDOH will provide overall program oversight and coordination; interface with the UNM CDD Clinical Fellows/psychimetricians and with the NN IRB and other agencies as needed to facilitate program activities and communicate the findings and needs of the study; provide administrative support for the CHERS team (track incentive purchases and reimbursements, perform peronal and tribal vechicle reconciliations, make travel arrangements, coordinate schedules and home visits and maintain records as needed); and re-contact/consent NBCS participants into the ECHO study, coordinate sample collections, perform ASQ surveys and 4 year developmetal assessment in conjuction with the UNM CDD Clinical Fellows; conduct community outreach efforts, promote and explain the study to community members.

PART III. PROGRAM PERFORMANCE CRITERIA:

	1st QTR		2nd QTR		3rd QTR		4th QTR	
	Goal	Actual	Goal	Actual	Goal	Actual	Goal	Actual
1. Program Performance Area: Provide technical assistance to the Navajo Birth Cohort Study project with UNM Goal Statement: Participate in conference calls	15		15		15			
2. Program Performance Area: Attempt to contact participants Goal Statement: Number of attempted participants contacted (phone calls, face to face, mail, etc)	32		57		56			
3. Program Performance Area: Number of presentations provided through health fairs, home visits, communty meetings & radio forums Goal Statement: Number of presentations provided through health fairs, home visits, communty meetings, & radio forums provide	25		25		25			
4. Program Performance Area: Number of surveys collected Goal Statement: 100% of the survey of participants enrolled expect the #'s to be 50% of participants successfully erolled	25		46		45			
5. Program Performance Area: Re-recruit previous NBCS participants Goal Statement: Re-contacting & consenting participants into the ECHO study to perform ASQ surveys & 4-yr developmental assessment	25		46		45			

PART IV. I HEREBY ACKNOWLEDGE THAT THE ABOVE INFORMATION HAS BEEN THOROUGHLY REVIEWED.

Mae-Gillene Begay, Dept. Manager II
Program Manager's Printed Name and Signature/Date

Ramona Antone-Nez, Executive Director 3/6/17
Division Director/Branch Chief's Printed Name and Signature / Date

SUB ACCT	POS NO	JOB TYPE	POSITION TITLE	EMP ID	WRKSITE CODE	FY 2016 ACTUAL		FY 2017 PROPOSED	
						G/S	SALARY	HOURS	BUDGET
1002	242612	3798	Comm Health Env Research Tech			AB62A	$16.36	1392	$22,773.12
1003	242613	3798	Comm Health Env Research Tech			AB62A	$16.36	1392	$22,773.12
1005	242615	1246	Prgram Supervisor I			AB64A	$19.43	472	$9,170.96

**** NOTE: Position Numbers were created from previous Navajo Birth Cohort Study grant.***

PART I. PROGRAM INFORMATION:

Program Name/Title: CHR/Outreach Program - Birth Cohort Business Unit No.: New

PART II. DETAILED BUDGET:

(A) Object Code (LOD 6)	(B) Object Code Description and Justification	(C) Total by DETAILED Object Code	(D) Total by MAJOR Object Code
	2001 PERSONNEL EXPENSES		81,364
	Employee Salary & Fringe Benefits		
2110	Regular	54,717	
	2120 Two CHERS & One Supervisor		
2900	Fringe Benefits	26,647	
	2900 Regular $54,717 * 48.7% = $26,647.18		
	3000 TRAVEL EXPENSES		15,383
	Monthly Mileage for 8 months, Meals, Lodging, and other miscellaneous travel expenses		
3110	Fleet	6,762	
	3111 Two vehicle * 7 Mo. * $483 = $6,762	4,480	
	3113 Two Vehicle * 7 Mo. * $320 = $4,480		
3230	Travel Expenses	4,141	
	7000 SPECIAL TRANSACTIONS		277
	Insurance Premiums		
	7710 Insurance Premiums	277	
	8300 PARTICIPANT TRAINING		19,720
	Participant will be reimburse for participating in the study per SOW (Blood/Urine Sample, Enrollement Survey, Postpartum Survey, ASQ Survey, Developmental Survey)		
	8350 Support Cost-Personal Allowance	19,720	
	TOTAL	116,744	116,744

PART I. PROGRAM INFORMATION:

Program Name/Title: CHR/Outreach Program - Birth Cohort Business Unit No.: New

PART II. DETAILED BUDGET:

(A)	(B)	(C)	(D)
Object Code (LOD 6)	Object Code Description and Justification	Total by DETAILED Object Code	Total by MAJOR Object Code
	9500 MATCHING & INDIRECT COST		16,669
	9710 Indirect Cost (Rate @ 17.18%)	16,669	
	166		
	TOTAL	16,669	16,669

THE NAVAJO NATION
EXTERNAL CONTRACT AND GRANT FUNDING INFORMATION

PART I. PROGRAM INFORMATION:

Funding Period: 9/21/2016-8/31/2017

Program Name/Title: CHR/Outreach Program - Birth Cohort

K #: New

Contract/Grant No.: 1UG3OD023344-01

Prepared by: Qeturah Anderson

PART II. PURPOSE OF FUNDING AND MATCH FUNDS REQUIREMENT

PART III. BUDGET INFORMATION:

(A) Major Object Code and Description		(B) Current Award Fiscal Year __	(C) Anticipated Funding Fiscal Year _2017_	(D) Difference Columns (C) - (B)
2001	Personnel Expenses		81,364	81,364.48
3000	Travel Expenses		15,383	15,382.57
3500	Meeting Expenses			-
4000	Supplies			-
5000	Lease and Rental			-
5500	Communication and Utilities			-
6000	Repairs and Maintenance			-
6500	Contractual Services			-
7000	Special Transaction		277	276.95
8000	Assistance		19,720	19,720.00
9000	Capital Outlay			-
9510	Matching - Cash			-
9610	Matching - In - Kind			
9710	Indirect Cost (Overhead) Allocation		16,669	16,669.00
	TOTALS:	-	**133,413**	**133,413.00**

PART IV. FTEs/MATCH FUNDS:	**No. of Positions/ FTEs:**		**3**	**3.000**
MATCHING FUND REQUIRED:	**Required GF Cash Match:**			-
CONCURRED BY:	**Required GF In - Kind Match:**			-
Contracting Officer's Signature / Date:	**Required GF % Match:**			-

PART V. ACKNOWLEDGEMENT:

Submitted by (print): Mae Gilene Begay, Dept. Manager II

Signature/Date:

Approved by (print): Ramona Antone-Nez, Executive Director

Signature/Date: 3/6/17

Job Type	Title	Grade Step	HRLY Rate	FY 2017 Jan - Aug	
3798	Community Environment Research Tech.	AB62A	$ 16.36	$ 22,773.12	Jan 01st-Aug 31st
3798	Community Environment Research Tech.	AB62A	$ 16.36	$ 22,773.12	Jan 01st-Aug 31st
	Program Supervisor I	AB64A	$ 19.43	$ 9,170.96	June 12th-Aug 31st
			Total	**$ 54,717.20**	
			Fringe Benefits	**$ 26,647.28**	
				$ 81,364.48	

2110	Regular	$ 54,717.20	$ 43,714.00
2900	Fringe Benefits @ 48.7%	$ 26,647.28	$ 21,289.00
3111	Vehicles (2 vehs*7mos*$483)	$ 6,762.00	$ 7,728.00
3113	Mileage (2 vehs*7mos*$320)	$ 4,480.00	$ 5,120.00
3230	Travel	$ 4,140.57	$ 9,808.00
4120	Office Supplies	$ -	$ 4,197.45
5610	Cellphone	$ -	$ 2,000.00
8300	Incentives	$ 19,720.00	$ 19,720.00
7710	Insurance Premiums	$ 276.95	$ 276.95
9710	IDC (Rate @ 17.18%)	$ 16,669.00	$ 19,560.00
		$ 133,413.00	**$ 133,413.40**
		133413	
		$ 0.00	

Object	Desciption	Amount
7720	Property Contents	
7740	Auto Liability (2 NN Fleet@ $110.98)	
7750	Auto Physical damage (2 NN Fleet @ $132.07)	
7750	Auto Physical damage (72 GSA @ $132.07)	
7765	Policy Payment (General Liability)	
7766	Deductible Expense	$ 276.95
		$ 276.95